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ABSTRACT

Problems and opportunities resulting from the implementation of the Anglo-American Cataloging Rules, 2nd edition (AACR 2) are examined in 12 essays by a representative sample of librarians at various New York State public, community college, college, and school libraries. Eight papers relate specifically to implementation experiences at these libraries. Two other papers address implications for interlibrary loan and the deferment of implementation costs. The remaining two papers provide a historical perspective of library planning and library standards and a report by the Regents Advisory Council on Libraries. Twenty-one references are included in three essays. (RBF)

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AACR 2 and NEW YORK LIBRARIES

The Bookmark
Summer 1981

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CONTENTS	PAGE
IN PERSPECTIVE By E.J. Josey	206
AACR 2 - COSTS OF IMPLEMENTATION DEFERRED By S. Michael Malinconico	207
A LARGE PUBLIC LIBRARY SYSTEM AND AACR 2 By Gay Baines	211
THE UNIVERSITY LIBRARY AND AACR 2 By Barbara Jones	215
THE IMPLICATIONS OF AACR 2 FOR INTERLIBRARY LOAN By Jane M. Wilford	220
THE IMPACT OF AACR 2 ON A MEDIUM SIZE COLLEGE LIBRARY By Joan K. Marshall	223
AACR 2 IMPLEMENTATION: MAKING THE TRANSITION IN AN INTEGRATED DICTIONARY CATALOG By Selma D. Foster	228
AACR 2 - VIEWS FROM THE SCHOOL LIBRARIES By George J. Morrison	234
THE SMALL PUBLIC LIBRARY AND AACR 2 By Christopher P. Gregoire	236
GOING PUBLIC: A NON-SPECIALIST'S VIEW OF AACR 2 IN THE SMALL PUBLIC LIBRARY By Sheldon Lewis Tarakan	240
THE IMPACT OF AACR 2 ON A COMMUNITY COLLEGE LIBRARY By Catherine T. Brody	245
AACR 2 AND THE HEALTH SCIENCES LIBRARY By Richard Kaplan and C.K. Huang	249
LIBRARY PLANNING AND LIBRARY STANDARDS: A HISTORICAL PERSPECTIVE By Lowell Martin	253
REGENTS ADVISORY COUNCIL ON LIBRARIES' REPORT By Bernice MacDonald	261

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IN PERSPECTIVE

AACR 2 and the Libraries of New York State is the central theme of this issue. Michael Gorman and the proponents of AACR 2 argue that the cataloging code revision from AACR 1 is necessary to ensure that cataloging rules "if not up-to-date, [is] at least contemporary." AACR 2 was born amid controversy. The powerful directors of the Association of Research Libraries members urged the Library of Congress to postpone its date for implementation of AACR 2. Of the 79 directors of ARL libraries queried in 1978, the returns showed 48 voting for postponing AACR 2 to January 1981. Twenty-nine voted for implementation and two abstained. Now that libraries are operating in the AACR 2 era, The Bookmark is presenting the views of a representative sample of librarians as they implement AACR 2.

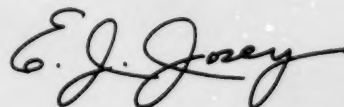
Twelve provocative essays examine AACR 2 and its problems and/or opportunities. S. Michael Malinconico, immediate past president of ALA's Library and Information Technology Association, challenges us by avowing that "one might even question why, at a time when libraries are facing particularly stringent circumstances, are we lavishing so much attention, and so many scarce resources on a bibliographic instrument—the card catalog—whose future is so obviously limited?" Continuing, Malinconico believes that the real costs for conversion "...will ineluctably come due when the machine readable files become the bases for new catalog forms." Gay Baines, from a large public library system, affirms "there is no question that the organization of the rules is superior to that of AACR 1." Barbara Jones, representing university libraries, affirms that "AACR 2 has made us ponder our service function, the nature of the card catalog, and the problems of managing change. Perhaps it hasn't been such a bad exercise after all."

Examining AACR 2 from the viewpoint of interlibrary loan service, Jane M. Wilford reminds us that "the interlibrary loan searcher will not just stumble upon these changes, but will need to be capable of converting the information given in interlibrary loan requests into the new acceptable forms." Speaking for medium size college libraries, Joan K. Marshall declares "the implementation of AACR 2 has had an enormous impact on the workload in cataloging." Marshall also says that "a catalog constructed in accordance with AACR 2 rules should be easier to use." Writing for those libraries who are making the transition in an integrated dictionary catalog, Selma D. Foster observes that "the transition to AACR 2 was perhaps not so difficult for us because we have always maintained fairly tight authority control over headings filed in the catalog." Describing the opinions of school librarians, George J. Morrison reported that one librarian asserted "we do reconcile the new names and headings to the revised AACR 2 rules as the entries come up and as time permits since the new headings are simpler and more concise." Because elementary school librarians divide their time between different buildings and don't have the time to devote to the catalog, Morrison points out that "while many receive their new books already catalogued in accordance with AACR 2, double and split sequences have of necessity been created ... and will remain until there is time to change them."

Reflections from a small public library by Christopher P. Gregoire suggests that "in the small public library, closing or freezing the catalog and starting another creates unnecessary expense and trouble for library users merely for the sake of some changes in the filing. Trouble for library users occurs when a patron is required to utilize two or more catalogs instead of one to access the collection." Sheldon Lewis Tarakan, commenting as the head of information services of a busy public library, believes that AACR 2 "is an improvement over older systems. It does make the card catalog easier to use. It can make the public service librarian a happier person Its success will depend on the spirit and attitude of the profession." From a community college perspective, Catherine T. Brody writes "like most community college libraries, we have decided to keep our catalog open, to interfile wherever possible and to create a system of interrelated reference cards." It is also Brody's opinion that "the new rules are easier for students in that they allow for the use of the form of names and headings that people know as the most commonly used terminology."

A survey of 12 academic health science libraries in the state by Richard Kaplan and C.K. Huang reveals that "since AACR 2 is a new edition based on the old rules, those medical libraries which have followed NLM's lead in adopting AACR 1 will have fewer changes to make than our colleagues who followed LC's interpretation and policies." Are there problems? Kaplan and Huang reports that "the vast majority responded that they were experiencing little or no difficulty in implementing the second edition of AACR."

Turning from the theme papers, we are pleased to publish a stimulating paper by Lowell Martin that was presented at the New York State Library's PLA Planning Process Workshop in June. Martin advised that "planning is not a document—it is a process it is not something from the outside, visited on the library, but an indigenous activity, integral to effective management." This issue closes with a report by Bernice MacDonald, speaking on behalf of the Regents Advisory Council, in her position as chairman, who concludes her excellent report in these words: "we pledge our best efforts to continue to work for quality library service in New York State."



By S. Michael Malinconico,
Associate Director for Technical and Computer Services,
The Branch Libraries, The New York Public Library

AACR 2- COSTS OF IMPLEMENTATION DEFERRED

Fortunately the elected representatives who debate the merits of library legislation have neither the inclination nor the ambition to delve too deeply into the technical details of the operation of libraries. Benign providence has served to obscure with a veil of indifference matters such as cataloging codes from too close scrutiny by legislators with the power to approve or withhold support for library programs. Were this not so the ingenuity of the library profession would be sorely pressed to explain to lawmakers the wisdom of devoting the resources we have to the development and implementation of the Anglo-American Cataloging Rules, 2nd edition (AACR 2). The quality of the judgment of those who encouraged and abetted such a misguided venture cannot help but reflect poorly on the ability of the profession to manage resources. Thus, one cannot help but harbor reservations concerning the ability of the profession to manage the additional resources it maintains it needs for the effective execution of its mission.

It will be exceedingly difficult for librarians to explain to lay persons untutored in the sublime subtleties of the bibliographer's art why so many members of our profession let themselves be preoccupied for more than four years with the development of a new cataloging code the results of which application bear a striking resemblance to those of the code it supersedes. Even more difficult to rationalize might be the prodigious amounts of time and effort that have been invested in preparation for, and implementation of a code the advantages of which can only be demonstrated by tenuous arguments devoid of empirical support.

CHANGES IN CARD CATALOG MERELY ARTIFICES

One might even question why, at a time when libraries are facing particularly stringent circumstances, are we lavishing so much attention, and so many scarce resources on a bibliographic instrument - the card catalog - whose future is so obviously limited? Ironically, the object of these lavish attentions is an instrument that is in many respects singularly insensitive to the changes wrought by AACR 2.

Thus, accommodation will be made only for the most pronounced differences between the old code and the new. Much of the effort will, therefore, need to be duplicated when card catalogs are replaced by a different catalog form far less tolerant of many of the trivial, but nonetheless discernible differences arising from the adoption of AACR 2.

"The conversion costs...will ineluctably come due [with] machine readable files..."

A card catalog with the aid of semi-literate filing assistants can absorb a variety of inconsistencies. Not so a catalog maintained and filed entirely by computer. Thus, many of the changes under AACR 2 will be accommodated without specific provisions in card catalogs. Presumably, as a consequence of the adoption of the AACR 2 catalog, users will be spared the uncertainty and needless confusion created by headings such as "Kuala Lumper;" "Presley, Elvis Aaron;" "Charlemagne, 742-814;" and "Napoleon III, Emperor of the French, 1808-1873." The new code replaces these arcane, ambiguous headings with the obviously superior forms: "Kuala Lumpur (Malaysia);" "Presley, Elvis;" "Charlemagne, Emperor, 742-814;" or "Napoleon III, Emperor of the French, 1808-1873." Such heading changes can be readily integrated into a card catalog without any special accommodation. They each, however, pose a change no less radical to computer than the substitution of Twain for Clemens or Tchaikovsky for Chaikovskii. They inexorably lead to double files in catalogs arranged by computer.

Thus, for many libraries the real costs of implementing AACR 2 will merely be deferred. The vast majority of libraries still using card catalogs have found that in most cases relatively simple, inexpensive artifices will permit them to adapt to AACR 2. However, many of these same libraries have for some time been committing

their cataloging to machine readable form for use in some future catalog form. The conversion costs that have been avoided through artifices such as interfiling catalog cards that differ in seemingly insignificant details will ineluctably come due when the machine readable files become the bases for new catalog forms.

In a card catalog one could easily ignore differences such as that between "Eisenhower, Dwight D. (Dwight David)" and "Eisenhower, Dwight David." In a COM catalog the computer would naively posit the existence of two soldier-statesmen with similar, but different names. Likewise, our literary heritage will be markedly enhanced (or fragmented, depending on one's perspective) as a result of the separate identities a computer assumes to be represented by the following combination of intrinsically meaningless symbols: Eliot, T.S./Eliot, Thomas Stearns; Yeats, William B./Yeats, William Butler; Auden, W. H./Auden, Wyston Hugh; and Cummings, E. E./Cummings, Edward Estlin.

IMPACT ON A COM CATALOG

Obviously those problems avoided at modest cost in a card catalog - diminished filing efficiency, increased filing error, need for additional cross reference cards - will need to be addressed, *de nova*, when the machine readable file is used to produce a COM catalog. Thus, one ends up paying twice - initially at a low level but later at a high level - to accomplish the necessary changes.

There would, of course, be little incentive to render a machine readable file of cataloging records, consistent prior to conversion to a COM catalog, unless one were also contemplating altering the cards corresponding to those records. If one were not planning to regenerate and refile the cards on which the modified headings appear, altering machine records would be an undertaking of dubious worth. The result would be a lack of identity between the machine readable file and its principle, formal display analog. This would render future attempts to initiate data base changes awkward at best.

IMPACT ON DATA BASE SEARCHING

One might argue that the foregoing are all anachronistic arguments pertinent only to static display forms such as COM catalogs and have little relevance for on-line catalogs which permit retrieval by virtually any element of a heading. Thus, for example, it is a small matter to such an instrument whether a record is headed

"Powell, John M." or "Powell, J. M.," it will be accessible because of the common character string "Powell, J." However, this implies that quite frequently catalog users will need to perform a three-step search - (1) access "Powell, J.;" (2) review the "Powell, J. M." sequence; (3) review the "Powell, John M." sequence. The problem will be somewhat aggravated when the data base contains a number of similar headings, e.g., a large number of Powell, J's* so that "Powell, J. M." will be separated from "Powell, John" by all of the headings with middle initials which sort higher than "M" and those with full forenames which sort higher than "J" but lower than "John."

"...it is a small matter to [on-line catalogs how] a record is headed [but it is] a three-step search..."

Furthermore, users will be required to exercise subtle discretion when formulating search keys, as specifying too much of the heading can serve to obscure the existence of an alternative representation of that heading in the data base. Thus, catalog users must be discouraged from making their searches too precise in an attempt to render them efficient. Finally, regardless of the approach taken, catalog users will inevitably be subjected to a search through a double file. In this regard an on-line catalog does not differ from a COM catalog. If anything, the problems are exacerbated by the awkwardness of the means by which one arrives at the double file, the limited scan range a CRT display permits and the relatively cumbersome means available for reviewing a sequence that occupies multiple display screens.

INCONSISTENCIES ARE COSTLY

Thus, the flexibility of interactive searching does not serve to ameliorate the problems that are so readily ignored in a card catalog. In the end, regardless of catalog form, one will find it necessary to resolve the inconsistencies existing between headings established under the two editions of the rules. Thus, the costs of conversion have not been avoided, they have

*The NYPL Research Libraries' catalog actually contains 20 J. Powells.

merely been deferred. The other alternative which permits one to avoid the costs of conversion is to externalize them - that is to pass them on to users and the public service staff - by requiring that catalog users contend with double files and exercise attention when formulating search arguments strategies.

The power of sophisticated data base searching is obviously turned to better advantage when providing access to a coherent data base than it is when attempting to compensate for shortcomings in the organization of a data base. Clearly the former is a far more responsive and useful instrument than the latter.

Likewise, the capabilities of an automated system are more advantageously used to effect an orderly transition from one set of cataloging rules to another than as a pragmatic measure to mediate the deleterious consequences of an expedient transition. Since a change in cataloging rules necessarily affects the entirety of a catalog, not just the new entries being integrated into it, clearly an automated system must have control over the entire catalog if it is to be effective in facilitating the conversion from one cataloging regimen to another. As a corollary of the foregoing, the method used to display the catalog must also be under computer control. Thus, we arrive at the inescapable conclusion that unless a new cataloging code is markedly superior to that which it supersedes, code revision is an imprudent undertaking so long as card catalogs hold sway. Though, in some respects, AACR 2 represents an improvement over AACR 1, few could argue with conviction that it represents a major advance, or even a radical departure from AACR 1.

The inconsistencies introduced into a catalog by diverse conventions for physical description do not seem to pose major difficulties for most libraries. The principal concern is with the dislocation caused by changes in the rules that govern the formulation of headings, and consequently the organization of the catalog. Thus, the availability of a mechanism that permits the structure (organization) of a catalog to be readily manipulated with computer assistance should have been a minimum prerequisite to the implementation of a new catalog code.

EACH LIBRARY MUST CONVERT ITS OWN FILES

Such a facility must be capable of affecting the machine readable file which constitutes a particular library's catalog, not just the central resource data base used to create

bibliographic products for off-line catalogs. OCLC is greatly to be lauded for undertaking the monumental feat of converting 7 million cataloging records created under a variety of bibliographic conventions to AACR 2. This now ensures that users of the shared cataloging system have access to a more-or-less consistent AACR 2 data base. However, the critical data store for each of the participants in the OCLC network is not the on-line data base, but rather that library's own archive file. The individual archive files of participating libraries were not affected by OCLC's massive conversion project. Thus, each member remains responsible for rendering its own file consistent if it is to be used as the basis of a local, on-line, or COM catalog.

If the transition to AACR 2 had come at a time when most libraries had their catalogs entirely under machine control, if the medium in which those catalogs were maintained permitted their display to be completely regenerated with relative ease, and if there was an automated authority control system, then the conversion to AACR 2 would have been a matter of minor moment. Under these conditions one could expect that the majority of the changes which affect the structure of a catalog would be distributed as updates to an authority file by a central source, or would be available as an adjunct to a shared cataloging arrangement. Thus, the necessary heading changes could be effected at minimal cost, and one could be assured that the changes would be reflected uniformly through the local catalog. Likewise, local resolution of heading conflicts could be expected to result in global transformation of the data base. With relatively little additional effort the act of creating a new AACR 2 heading could also result in the complete reorganization of the catalog to reflect the new practice whenever appropriate.

PROCEDURE USED BY MILCS

It is precisely in this manner that The New York Public Library and its partners in a New-York-Metropolitan-area-shared-cataloging consortium, MILCS*, are dealing with AACR 2. The MILCS data base is under the control of a machine readable authority file. The participating libraries that use the system to catalog their

*MILCS is the Metropolitan InterLibrary Cooperative System, which includes the Brooklyn, Nassau, New York, Queensborough, Suffolk County, and Westchester County Public Library systems as well as the Suffolk County Community College.

collections have agreed to convert headings in the data base whenever a conflicting heading is introduced as the result of current cataloging. When this is the case, the conflict is resolved by maintaining the network authority file which then causes the resulting changes to be reflected throughout the entire bibliographic data base. In this manner, the data base will, in the course of time, be converted to AACR 2 while remaining internally consistent at all times.

"...we are faced with a situation which precludes an optimum strategy..."

With the aid of an automated authority control system the central network agent responsible for maintaining the MILCS authority file, the Network Validation Center, was able to convert, with the aid of some special programming, 4,435 headings to AACR 2 form in a five-month period, December 15, 1980 to May 15, 1981. The reason so many headings are affected is that whenever a simple heading is converted, all of its subdivisions must also be modified in order to maintain the integrity of the catalog. Thus, although it is a simple matter to convert "New York (City)" to "New York (N.Y.)" or "Paris" to "Paris (France)," there are respectively 301 and 175 other headings in the NYPL/MILCS authority file which are subdivisions of these basic headings that must also be converted.

Composers' names present the most difficult cases. These name changes have enormous impact on the data base because of the number of uniform titles affected. For example, "Tchaikovsky," "Rimsky-Korsakov," and "Prokofiev" account respectively for 472, 169 and 175 headings in the MILCS data base. The most pervasive heading encountered thus far has been for Mozart which is associated with 935 other headings (primarily uniform titles).

COMPARISONS

We have in this brief discussion dealt only with personal names, as it is these headings which appear most frequently in the catalogs of

all libraries, and which provide the most striking examples of changes which lead to imperceptible advantages. The advantages of the new code, as we have shown, are in many cases only slight; the expense of an orderly adoption, however, are significant. The disadvantages of a pragmatic implementation, on the other hand, are inescapable. Thus, we are faced with a situation which precludes an optimum strategy - one can engage in a complete, orderly transition and gain little, or one can adopt a pragmatic, expedient approach and lose much.

Were automated authority control facilities generally available, the transition of AACR 2 would have been considerably more efficient and effective. It seems very likely that within a short time - less than five years - such facilities can be expected to be fairly ubiquitous. This then would have been a propitious time to consider adoption of a new code. The present time, on the other hand, seems to be among the worst possible times. Most libraries are still constrained by the intransigence of card catalogs, yet they have substantial fractions of their holdings in machine readable form. Nonetheless, they do not have access to facilities that will permit them to incorporate AACR 2 changes in a manner that has a global effect on the entire machine readable file, or that permits accommodations made for current cataloging to imply an end to the matter; each change must be made repetitively in every catalog record in which it appears. In addition, specific procedures must be established to prevent the reintroduction of AACR 1 headings when older cataloging copy is used. (Machine interpretable cross references and an automated authority control system will automatically affect this.)

However, second guessing the manner in which AACR 2 was introduced grants the code unwarranted legitimacy. The burden of proof should have been on its proponents to demonstrate benefits in excess of the expense of adoption.

Demonstration of the socially redeeming value of converting from "Mozart, Johann Chrpstom Wolfgang Amedeus" to "Mozart, Wolfgang Amedeus" or of changing "Maugham, William Somerset" to "Maugham, W. Somerset" should have been demanded before we accepted the commitment to make the myriad changes these questionable decisions imply.

By Gay Baines, Head, Catalog Department,
Buffalo and Erie County Public Library

A LARGE PUBLIC LIBRARY SYSTEM AND AACR 2

Yesterday we discovered a record in the OCLC data base for one of many versions of Aesop's fables. The author was displayed as: "Association for Energy Systems, Operations, and Planning." I knew that under AACR 2 they were going to change some well-established headings, but I hadn't realized the changes would be that drastic. After we had recovered our senses we detected that the acronym for the entry is AESOP, from which there is a cross reference in OCLC's name authority file, and somehow in their eagerness to convert the data base to AACR 2, OCLC staff had converted one too many. A year ago, had I known such a thing could happen as a result of AACR 2, I would have gone into a cold sweat. Today, having passed the terrible Day One (and having survived the fact that said Day was moved back for OCLC users from January 2, 1981 to December 23, 1989), it is possible to look back on the phenomenon of AACR 2, how we anticipated it, and how it is working at Buffalo and Erie County Public Library; and it is possible to breathe a sigh of relief. Messy though it is, AACR 2 has not set bibliographic control back 50 years as some of us were afraid it would.

"Even among librarians there is a great deal of ignorance about national cataloging standards."

AACR 2 is a problem in technical services because it involves changes from AACR 1. The strictly cataloging aspects, such as the descriptive text, do not provide as many problems as the bibliographic aspects, i.e. the new rules for entry and heading. In public and reference areas of the library, the same holds true: it is unusual for a public library patron to notice such things as ISBD punctuation (though I can't help but wonder if they don't think it very odd), or whether or not a serial record includes a date of publication; but patrons and public service librarians alike can be frustrated and confused by changes in entry.

CATALOGING TASKS

Another problem with AACR 2 is its obscurity. While changes in postal rates get a great deal of attention in the media, changes in cataloging rules do not. Even among librarians there is a great deal of ignorance about national cataloging standards. I suspect that there are many noncataloging librarians who think that their local library system or bibliographic utility makes up its own cataloging rules. Cataloging staffs, then, are left with three tasks. First they must learn the rules, which involves coping with a phenomenon which I call "cataloging overlap." We customarily accept Library of Congress cataloging; and we are an OCLC library, using that utility to order cards for the central library and for more than 50 city branches and town libraries. When doing original cataloging, we must first deal with AACR 2, then with the Library of Congress' interpretations of AACR 2, then with OCLC's handling of LC's interpretations of AACR 2, then with BECPL's local customs as they apply to OCLC's handling of LC's interpretations of AACR 2. This overlap must be taken into consideration every time we do original cataloging or "massage" an existing OCLC record which does not meet our standards. The second task the Catalog Department faces is the integration of records with changed entries into existing pre-ALA, ALA, and AACR 1 catalogs. Finally, we must try to make people aware that AACR 2 exists, that it does have benefits, and that we have dealt with the problems it causes.

THE CATALOG - PAST AND FUTURE

Long before copies of AACR 2 came into the BECPL Catalog Department, the question of catalog form had to be decided. A Task Force on the Future of the Library Catalogs was formed in March 1978 and assigned the task of investigating different catalog forms and the best options for our system. During the early months of the Task Force's existence, many members believed that within a couple of years a machine-readable catalog in either COM or on-line form would be a possibility. As time and our investigations went on, however, it became apparent that the high cost of such projects

made it impossible for the time being, and we would have to stick with cards. In 1980 the Task Force concentrated its efforts on the study of AACR 2 and how to deal with it. Since the possibility of a new catalog form in the near future was ruled out, the options were reduced to two: start new catalogs in January 1981 and close or freeze the old ones; or keep the present catalogs and make manual adaptations in order for us to accept OCLC's AACR 2 records without question.

It did not take long for us to decide against starting new catalogs. One reason was the pattern of catalogs throughout the System, which reflects the Library's history. In 1954 three libraries were merged to form the present system: The Buffalo Public Library, established in 1836; the Grosvenor Library, which dates from 1859; and the Erie County Public Library, a processing center for suburban and rural towns, formed in 1947. The result of the merger produced a complicated system of catalogs. The central library (the descendant of the Grosvenor catalog) has one Main Catalog with satellite catalogs in special departments: Science/-Business, Children's, Fiction, and Music. The Music Department also has catalogs for Music scores and for sound recordings, cards for which are not duplicated in the Main Catalog. In addition, all of the separate subject departments have satellite shelflists for items held on their respective shelves. Next to the Main Catalog is the Dewey Catalog (the remains of the Buffalo Public Library catalog), containing cards for items not yet reclassified to LC or otherwise processed for filing in the Main Catalog. Each of the city branch and town libraries has its own catalog. To create a new catalog in all these areas would be next to impossible. Even the creation of a new catalog only in the Central Library departments would be cumbersome; and we would still be faced with the problem of changed entries in the branch and town units. In any event, the cost of additional catalog card cases would be prohibitive.

USING THE CATALOG

But a more important aspect of new catalogs would be patron reaction. Unlike academic libraries, which are in a better position to acquaint their users with the catalog, public libraries must often deal with patrons who don't know what a catalog is, let alone how to use it. Many of these users are aware of their ignorance of libraries and tend to slink out of the building because they feel uneasy about "bothering the librarian." Without guidance, some of them may

never find the new catalog at all, and leave disgusted that their library doesn't have the newest titles. But even a fairly knowledgeable patron can have problems. Let's say a person is seeking a title issued by the Board of Governors of the Federal Reserve System. Assuming that he knows how to look up entries under author in the catalog, he approaches the B's and locates an entry, only to find that it is a cross reference: "see United States. Board of Governors of the Federal Reserve System." He then heads for the U's and, provided he isn't terrified by the United States entries, discovers that among the titles listed under "United States. Board of Governors" etc. the title he wants is not present. Then (provided that he knows that there is one) he approaches the new catalog, smug in the knowledge that he now knows exactly how to look it up: "United States. Board of Governor's ..." But he is confronted again by a cross reference: "See Board of Governors of the Federal Reserve System." If he has a placid disposition, he will shrug it off as the usual library obfuscation. If he is of a more choleric temper he will take out his frustration on the totally innocent reference librarian at the nearest desk. Putting a sign above the new catalog stating "Entries in this catalog are in AACR 2 form" would be of no use whatever.

"...public and professional users deserve an explanation, which we have tried to provide..."

OPTIONS FOR CHANGE

Having decided not to establish new card catalogs, the Task Force had to devise a means of co-locating AACR 2 and pre-AACR 2 entries in the existing catalogs. There were three options here. One was to keep the catalog as it is and change new entries to the existing forms. This option was dismissed as totally impractical; it was also illegal for us as an OCLC library. A second option was to change all existing headings to AACR 2 form. This, too, was not possible; a study of AACR 2 and its possible effects had revealed that upwards of 18,000 cards weekly would have to be changed if we selected this option. The third option was to leave the catalog as it was, add new headings, and make cross references between the two. This was the

easiest option, but we were not satisfied with it. A check of headings listed in the LC Cataloging Service Bulletin against the Main Catalog revealed that in many cases we had only a few cards to change. In the end we decided to examine the headings to be changed and change those which would not involve pulling great numbers of cards; in instances where there was $\frac{1}{2}$ inch or more to be changed, we would split the files and create "see also" references. In instances where the changes were minimal (removal or addition of a punctuation mark, for example) cards could be changed manually with a steel or rubber eraser and pen, or by interfiling and using elevated guide cards. By following these options we could come as close as possible to having a completely AACR 2 catalog (a phenomenon which is to all intents and purposes not completely possible anyway), and would also have the tools to make such changes in the future if sufficient staff and/or money could be found to do the work. The philosophy of our reaction to AACR 2 can be summed up as follows:

1. Take the line of least resistance. Accept the cataloging copy you get.
2. Keep to a minimum the actual physical changes which would disrupt the catalog.
3. Don't change entire sets - just the headings.
4. Inform everybody about everything.

There are reasons for and exceptions to each of these guidelines. The first one is simply that if you regularly receive cataloging copy from a certain source, you should use it in the form it is presented, especially if yours is an LC library and LC created the record. Our exception is fiction. We have always used the name which appears on the title page, spine, and jacket, regardless of its relationship to the author's real or established name. Cross references were, of course, always made. Under AACR 2 there are many more entries which match the name on the title page, even if they are pseudonyms, so in a way we are better off than we were under the old rules. The reason for the second guideline is that unlike some academic libraries, we have no slow period during which staff can attack the catalog, rip it apart to make changes, and put it back together again. There might be an exception where a very popular author is being changed only slightly (Leonardo, da Vinci to Leonardo da

Vinci, for example) and it would be most practical to pull all the cards and make the minimal change of removing the comma on all of them rather than to split the files and make cross references between two extremely similar entries. The third critical guideline is risky. There will always be the critical library user or public service librarian who will notice that the heading on the main entry is Tchaikovsky but the heading in the main entry position on the added entry card is Chaikovskii. It is tempting to be flippant about some minor discrepancies, but

"What [reference staff] find most distressing are tiny changes..."

both public and professional users deserve an explanation, which we have tried to provide without going into a lot of detail about the philosophy behind the AACR 2 rule. As for the fourth guideline: we're probably telling the staff too much, and there have been some objections. In March we released a list of the AACR 2 headings encountered in cataloging during January, their previous forms, and how we had dealt with them. There were 115 headings encountered in the month: 87 in the central library only, and 28 in the branches and towns. Of the central library headings, 65 were changed, 6 were interfiled, and 16 were split. No decisions were made on the headings encountered in towns and branches; the units were simply informed that there was a change in heading. The February list for headings encountered in the central library came to 150: 104 changed, 29 interfiled, and 17 split. The lists for the towns and branches (now sent separately on a more or less monthly basis) actually instruct the staff to make cross references from the old heading to the new; however, these lists are not considered to be prescriptive but merely a means of information.

At this writing, no public reaction to AACR 2 changes in the catalog has been observed. The central reference staff, however, has reacted here and there. What some of them find most distressing are tiny changes such as "National Science Foundation (U.S.)" from "National Science Foundation," rather than the grosser changes in spelling or use of pseudonyms where given names were used in the past. Many of them find the changes confusing, although

their confusion may result from the split files and interfiling, with their attendant cross references and guide cards, rather than from the headings themselves. I, for one, am uneasy about foisting headings such as "Maugham, W. Somerset (William Somerset)" on public and reference staff alike. It is this type of heading (T. S. Eliot and D. H. Lawrence are the usual examples cited) which has caused the most distress so far. The problem is that one person's idea of the accepted form of the name may differ from another's ("standard reference sources" be hanged). The headings which have caused the most complaint in the central library are "Shaw, Bernard (George Bernard)" and "Andersen, H. C. (Hans Christian)." They feel that "Shaw, Bernard" and "Andersen, H.C." are not the entries expected by the user. Unfortunately, this sort of debate has been going on for years and obviously will never be solved by AACR 2 or anything else. The staff of the Music Department, while pleased that Tchaikovsky is now Tchaikovsky and not that other thing, are less than enthusiastic about his uniform titles being in the romanized form of the Russian original. I know that I am not the only head of cataloging who has decided to somehow avoid forcing such distasteful combinations down the throats of our users.

Because of the nature and structure of the library system, branch and town staff are at a disadvantage in that much of the catalog they see is tailored, on OCLC's part, to the academic user; and, on our part, to the more elegant demands of central reference. The result, especially in special areas such as music and sound recordings, is extremely detailed cataloging. AACR 2 conversion can only exacerbate this situation. Fortunately, most branch and town staff are experienced enough not to have a heart attack when they encounter a five-card entry, and sensible enough to know how to integrate the cards into their catalogs. Elsewhere in this issue, Chris Gregoire has addressed the question of response in one of our units to

AACR 2 cataloging ("The small public library and AACR 2").

DECREASE IN ORIGINAL CATALOGING

Meanwhile, back in the Catalog Department, we are musing over the muddled consequences of using the new rules daily as a cataloging tool. There is no question that the organization of the rules is superior to that of AACR 1. However, there have been many complaints expressed about the dearth of examples, and the catalogers are concerned about the complicated web of supplementary material one must maintain (the Cataloging Service bulletin, RTSD articles and columns, remarks, and articles from newsletters issued by groups such as the Music-OCLC Users Group). Cataloging serials, for example, turns one into a Talmudic scholar, searching for meanings and interpretations in the rules (which sometimes contradict each other—but that's another article). The result is a decrease in original cataloging. There is a certain amount of not unexpected hesitation to commit oneself to a certain form of entry or heading when the cataloging is going into a data base which is available to eagle-eyed catalogers waiting to find a mistake so they can file an error report (they call them "change requests" now, but we all know better). Fortunately, the rate for original cataloging has started to climb now that we have had a few months to adapt to the rules.

When I started work at BECPL in 1960, the Catalog Department, having used a modified version of Dewey for over half a century, was just starting to use Library of Congress classification. That was a big change, next to which AACR 2 seems insignificant. It might be a little early to predict, but I feel that we will survive the challenge of new rules and desuperimposition, albeit with a few bibliographic scars. Then we will be prepared to face the challenge of AACR 3.

"SERIAL CATALOGING: A COMPARISON OF AACR 1 AND 2"

Forrest F. Carhart, Jr. has reported in the newsletter for METRO (New York Metropolitan Reference and Research Library Agency) that METRO's Miscellaneous Publication No. 25, "Serial Cataloging: A Comparison of AACR 1 and 2," was recommended "for those who do serials cataloging, particularly those who already have some knowledge of AACR 2" in a review in Library Resources and Technical Services.

THE UNIVERSITY LIBRARY AND AACR 2

By Barbara Jones, Head of Cataloging
Bobst Library, New York University

Technical services librarians waited and planned fearfully for years as January 2, 1981, "Day 1" of Library of Congress' implementation of the Anglo-American Cataloging Rules, 2nd edition (AACR 2) approached. For most libraries, the bibliographic roof did not collapse on that day. At New York University Bobst Library, the staff returned after the holidays and produced cards on the OCLC bibliographic utility. Students flipped through the public card catalog drawers as usual. Yet the "AACR 2 master plan" we had hoped to have in place for our institution's adoption of the new cataloging rules was not finished. Nevertheless, the years we have spent and continue to spend in planning for the most profound change in university libraries since the implementation of on-line cataloging systems in the early 1970's have paid off.

"AACR 2 calls for an integrated, consistent approach to cataloging all library materials..."

This report will explain why the adoption of AACR 2 has dramatically affected university libraries in particular. It will highlight how a very typical library system, NYU's Bobst Library with branches and consortium members, is addressing the issues surrounding AACR 2 and is integrating the new rules into our service to the university community.

BACKGROUND

For the history, rationale, and specific methodology of AACR 2, there is more than enough coverage in the library literature. One excellent overview is *The Making of a Code: The Issues Surrounding AACR 2*, edited by Doris Clack (Chicago: American Library Association, 1980). This collection of papers given at the 1979 Tallahassee International Conference on AACR 2 offers a variety of distinguished points of view on such topics as: comparisons of AACR

1 and AACR 2, the history of the catalog code revision, the impact of AACR 2 on automated bibliographic systems, highlights of the major AACR 2 changes in description of material and choice of access points, and Library of Congress' implementation. And, of course, one must read the rules themselves. AACR 2 strives for an integrated, consistent approach to cataloging all library materials, book and nonbook; a clear style with examples and a logical organization; and the use of ISBD (International Standard Bibliographic Description) in all chapters for all types of materials. There are several major departures from AACR 1 as written, and continuation of trends begun under AACR 1 as interpreted. AACR 2 calls determining the authorship and other added entries for a work the "Choice of Access Points." The rules governing choice of a corporate body as an author are extremely restrictive (AACR 2, 21.1). This AACR 2 abandonment of the principle of corporate authorship has a major effect on serials cataloging. If a serial has a title consisting of only a generic term such as "bulletin," lacks a personal author, and no longer qualifies for corporate authorship, it will be entered under title, with corporate body as a parenthetical qualifier in certain instances, i.e., *Bulletin (Name of corporate body)*.² One can imagine how fast the "bulletin" catalog drawers are going to grow!

EXAMPLES OF METHODOLOGY

AACR 2 calls the way in which an entry is displayed on the cataloging record the "Form of Entry." Both personal and corporate heading forms are increasingly being formulated the way in which these authors are recorded in the item being cataloged, and the name by which the person is best known. Hence, "Lawrence, D. H. (David Herbert)" instead of "Lawrence, David Herbert" and "Seuss, Dr." instead of "Geisel, Theodor Seuss." The problem gets stickier, however, in the case of authors known by more than one name. In *Murder Ink*, a reader's guide to mystery novels, the article on pseudonyms cleverly repeats John Creasey's photograph with one of his numerous pseudonyms underneath each photo. For the cataloger, this joke reflects a major departure in AACR 2: that if there is no

predominant name for an author writing under several pseudonyms, the cataloger should use the name appearing in the work being cataloged (AACR 2, 22.2C3).

The AACR 2 examples given here are merely representative of a myriad of changes, some theoretical, some formulaic; no judgment of the wisdom of these changes is intended. Again, the reader is referred to the library literature for the debates over specific rule interpretations, problems with describing specific types of materials such as microforms, and such larger issues as the timing of AACR 2 in relation to on-line catalog projects and Library of Congress' ability to implement the changes.

IMPACT ON UNIVERSITY LIBRARIES

Putting the specifics aside, what is the impact of AACR 2 on university libraries? The previously cited examples demonstrate the dramatic impact on catalog files. University library collections reflect the needs of their users, who research a problem historically and comprehensively. Just because a definitive 1981 edition of Huckleberry Finn is added to the collection does not mean that the 1969 edition will be discarded. Most university library card catalogs will thus contain cards with the AACR 1 author entry, "Clemens, Samuel Langhorne" and the post-1980 AACR 2 entry, "Twain, Mark." How often will such conflict occur? Arlene Taylor Dowell has done considerable research on the effects of AACR 2 implementation on the files in small, medium, and large academic libraries. In the first year of AACR 2, in a 2.5 million volume academic library adding 120,000 volumes a year, 12.7 percent of headings entered into the card catalog will conflict with what is already there, if that library's policy is to make every heading conform to AACR 2. But as Dowell herself warns, such statistics must be used with caution because of numerous variables: OCLC's conversion of pre-AACR 2 headings; LC's "compatible headings;" and the local decision made on accepting LC copy. Indeed, numerous studies have been conducted by Library of Congress, King Research, Inc., and local libraries; and the results and recommendations vary so widely that it would only be confusing to record the results here. A library must either guess or project empirically the percentage of conflict that will occur in the catalog and then decide how, if at all, such conflicts will be reconciled. Another reason university libraries are affected greatly by AACR 2 is their real dependency on Library of

Congress for such bibliographic products as MARC tapes and the name authority fiche or on-line file. At New York University, for example, the percentage of titles cataloged yearly having a MARC record is over 85. These records are handled at NYU, and at the vast majority of academic libraries, by paraprofessional catalogers; this has meant the reduction, though certainly not the demise, of the percentage of professional catalogers in cataloging departments. In pre-AACR 2 days one could assume that in a library that has always used LC as the standard, MARC records could be "accepted" without the complex and time-consuming verification of access points. Now that AACR 2 is upon us, the picture will change, at least in the early years of implementation. If the MARC record is pre-AACR 2, the entry form will be "Clemens," if AACR 2, "Twain." Some means must be developed for recognizing and reconciling such conflicts. The LC Name Authority File is a great help in the recognition process, though this file does not include all types of headings and entries. The reconciliation process must, in large part, be determined by in-house policy. And much of this work must be performed by informed professional catalogers.

"The reconciliation process must, in large part, be determined by in-house policy."

The impact of AACR 2 on catalog files continues to be determined by LC as they issue policies and lists of AACR 2 "compatible" headings they will not convert because the existing form is so close to the AACR 2 form that user access and filing arrangement will not be affected. If LC had not issued such revisions, 37 percent of their headings would have required a change. Their latest policy is published in Cataloging Service Bulletin 11, Winter, 1981, and the percentage of potential conflicts continues to decrease as a result.

INTERFACE WITH BIBLIOGRAPHIC UTILITIES

A closely related influence is the dependency of university libraries on the on-line bibliographic utilities, especially OCLC, Inc. and Research Libraries Information Network (RLIN). Both of these utilities load the MARC files for

member use, but each has implemented AACR 2 in a different manner. In December 1980 OCLC ran a massive data base conversion which resulted in pre-AACR 2 forms of name headings of records in the data base being changed to the AACR 2 form. They found that at least one heading in 39 percent of 2.7 million records had to be converted. The pre-AACR 2 headings remain in the bibliographic record and are easily distinguishable from the AACR 2 forms.

To date, the Research Libraries Group has not planned a similar "flip" of headings in the RLIN data base. Additionally, it appears that the standard for establishing name headings will be the New York Public Library Authority File, not LC's.

"We will do whatever is possible...to make bibliographic access easy for the patron."

For those university libraries utilizing one utility, the problems are difficult enough in training staff and adjusting local procedures to accommodate the conflicting headings. For those libraries in transition from one utility to another, the headaches are enormous. The staff must learn the differences in implementation so that they know whether the headings on the screen are pre-AACR 2 or AACR 2. Local policy must be formulated to establish who the final authority for form of entry will be. Technical services management must work with the bibliographic utilities in processing their archival tapes so that future on-line catalogs will display consistent forms of entry. Incidentally, those university libraries embarking on on-line catalog projects must build authority linkage among various forms of name into the software specifications.

Last, but probably most important, university library technical services staffing is closely tied to implementation of AACR 2. As previously noted, the advent of on-line cataloging and the availability of current MARC records dramatically changed staffing patterns.¹¹ If a library commits itself to reconciling pre-AACR 2 and AACR 2 headings, whether by erasure, interfiling, or "see also" references, extra staff time will be mandatory for searching, typing,

filing, and professional decisionmaking. Some staff members' assignments will change, and most will need extensive training and orientation to both AACR 2 and local implementation. The resultant anxiety, time pressure, and drop in productivity in what the textbooks call the "management of change" is very intense and very real. Richard De Gennaro's recent *Library Journal* article, "Libraries & Networks In Transition: Problems and Prospects for the 1980's," is very insightful in this regard. The synchronization of various data bases, the catalog maintenance required to reconcile pre-AACR 2 and AACR 2 headings, and the high cataloging standards required by the bibliographic utilities cost time and money for staffing and technology.¹²

One way to dramatize the impact of AACR 2 on university libraries is to study "The Continuing Saga of Life in the NYU Bobst Library Cataloging Department."

STEP BY STEP PROGRESS AT NYU

1. We learn the rules. Early in 1980 the professional catalogers from Bobst, branch, and consortium libraries held biweekly sessions to teach each other the contents of the "orange book." Chapters were divided among participants, who prepared exercises and examples. Once we had learned the rules, the group evolved into a professional catalogers' discussion group to discuss problems encountered in actual application of the rules and to determine local AACR 2 options to follow. Mandatory reading included the LC Cataloging Service Bulletin and pertinent OCLC and RLG/RLIN documentation. Catalogers attended the OCLC-sponsored AACR 2 workshop with Paul Winkler, the New York ALA/LC AACR 2 Institute in May 1980, and various OCLC tagging and update sessions. Many staff members attended and participated in ALA, NYLA, and other library association committees dealing with AACR 2 implementation.

"...many of the conflicts require the judgment of a professional cataloger."

2. We plan the nature and future of the card catalog at NYU. In the summer of 1980, we formed a Future of the Card Catalog Commit-

tee, with representation from public services, branches, paraprofessional cataloging, and catalog maintenance. After initial orientation and decisions on basic assumptions, this committee appointed a core of four people to work out the nuts and bolts of integrating AACR 2 headings into our card files. This core group is still hard at work.

The Future of the Card Catalog Committee established basic assumptions at the outset. First, the user is and will continue to be the "bottom line" in our library system. We will do whatever is possible in terms of staff time, money, and dedication to make bibliographic access easy for the library patron.

Following from that, we have begun with a commitment to link old and new headings. We have formulated a variety of options: interfiling, changing old headings to new, making "see" and "see also" references. We have documented all our decisions and procedures. We also decided to keep the public catalog open and not start a second file. NYU is planning to build an on-line catalog for our library system. If we opened a

"...how very dependent we are on LC and the bibliographic utilities...local procedures can make a difference..."

second manual file at this point, there would be three catalogs until such time as all archive tapes are loaded into the on-line catalog and manual records converted. And since we are committed to linking old and new forms of entry, the same "see also" references would have to be typed for links within one catalog or between two. With one catalog, interfiling is a viable option.

The Future of the Card Catalog Committee decided to use AACR 2 as an impetus for establishing a Master Authority File to record decisions made at Bobst, branch, and consortium libraries. We have established two files for names and series. We are including records of interfiling decisions. It seems strange to begin a manual file when automated files are so much a part of our future. But presently there is no on-line capability for recording such local decisions. We can use our manual files at a later date as a

master record for updating a future on-line authority system. We found that we simply could not wait for an on-line interactive authority system; determining the form of name used among name changes, variations, and AACR 2 forms is extremely complex. Our current procedure utilizes the on-line LC Authority File as the basis for decisionmaking; however, many of the conflicts require the judgment of a professional cataloger.

3. We prepare the library staff. In the Cataloging Department we presented an introduction to AACR 2. We trained appropriate staff members in searching, tagging, typing the new authority cards, and other tasks. We discovered that the best way to relieve the anxiety in change is to keep the entire staff informed and involved. To this end, members of Technical Services held an information two-hour "brown bag lunch" for which we reported on such topics as AACR 2, subject headings, and the on-line catalog and gave the entire library staff an opportunity to ask questions. For the university community at large, we reported on AACR 2 in the Library Division Newsletter.

The Cataloging Department staff training program received national attention when one of our catalogers reported on our methods at ALA Midwinter meetings in Washington. Instead of appointing one staff member as official trainer, we have each developed a speciality. The training committee meets to discuss the needs of a particular individual or group, and the appropriate specialists are called upon for the task at hand.

Because we predict that the bulk of the work in our AACR 2 implementation will fall in the catalog maintenance operation, a reorganization of that area is on the drawing board. It is important that manual changes to cards be reflected in the on-line bibliographic record, the basis for our on-line catalog.

Day 1 came and went. NYU's master plan for coping with AACR 2 was well underway but certainly not finished. The commitment of staff time has been tremendous and will continue as we monitor the results. While our deliberations have made us discover how very dependent we are on LC and the bibliographic utilities, we have also realized that local procedures can make a difference in ease of access to catalog files. AACR 2 has made us ponder our service function, the nature of the card catalog, and the problems of managing change. Perhaps it hasn't been such a bad exercise after all.

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- ⁶Library of Congress Information Bulletin, July 21, 1978. p. 416.
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- ¹⁰Current policy, according to Ed Glazier, Bibliographic Quality Assurance Specialist, RLG, in a phone conversation June 5, 1981: In RLIN, the General Authority File (GAF) will be based on The New York Public Library's authority file. The "flipped" LC file will also be available as a resource file, and headings can be added to the GAF. As with OCLC, original input must be AACR 2.
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LIBRARY TRUSTEES IN NEW YORK STATE

September 25-26 was the scheduled date of the 1981 Library Trustees Institute in Albany co-sponsored by the New York State Library and the New York State Association of Library Boards.

The goal of this institute is to provide library trustees (especially new trustees) with the opportunity to secure information about New York State libraries and trustees, to meet with other library trustees and New York State Library and New York State Association of Library Boards leadership, discuss common problems, and establish a basis for continuing contact and cooperation. Knowledgeable and experienced librarians and trustees led the various workshops and the program of this annual institute.

Daniel W. Casey, president of NYSALB, stated in the March 1981 NYSALB Newsletter:

...future growth of New York's public libraries is heavily dependent upon increased service from their trustees and advisory committees...as the trustee performs, so will libraries [fare in the struggle for financial support.]

Since the birth of trusteeship in New York State more than 130 years ago, library trustees have been encouraged to work for libraries through their boards and their state and national associations, the New York State Association of Library Boards (NYSALB) and the American Library Trustee Association (ALTA), a division of the American Library Association.

THE IMPLICATIONS OF AACR 2 FOR INTERLIBRARY LOAN

By Jane M. Wilford,
*Interlibrary Loan Librarian,
Columbia University Libraries*

Interlibrary loan offices in libraries around the country do not need anything at this point to complicate their lives. Because of the declining purchasing power of the U.S. dollar, general inflation, and severe budget cuts during the past 5 to 10 years, interlibrary loan increasingly has been called upon to fill in the gaps in meeting the needs of library communities.

Interlibrary loan departments, along with the library world in general, must soon face the implementation of the Anglo-American Cataloguing Rules, second edition. How this affects interlibrary loan operations and how easily the adjustment can be made will certainly have an impact on the success (as measured in fill rates) of the interlibrary loan office.

ILL SEARCHERS MUST KNOW

Traditionally, when the topic of AACR or AACR 2 arises, most discussion centers on catalogers, reference librarians, and the users. Many other components of the library world, however, will be significantly affected. Not least among these are interlibrary loan staffs who constantly confront the catalog. Processing the physical materials generated by interlibrary loan requests certainly accounts for a significant portion of the day's work load, but the principal activity of ILL departments, upon which all other tasks depend, is searching the catalog as the initial step in retrieving the necessary materials. This step is intrinsic not just in the processing of incoming requests but also of outgoing requests; one must ensure that a given item (often discovered in a form different from that presented by the reader) is not held in the collections of the home institution before transferring the burden of meeting a user's needs to another library.

With such intense day-to-day use of the catalog, it is imperative that the searchers of interlibrary loan requests be familiar not just with the idiosyncracies of local practice but also with cataloging philosophies and practices in general. As Bohdan Wynar states in his preface

to Introduction to Cataloging and Classification, "the knowledge of classification systems is a prerequisite for the retrieval process..."¹ This holds true not just for the large research library that may be the recipient of thousands of requests each year from a variety of libraries whose collections and access to verification tools run the gamut in levels of sophistication, but also for the smaller library that may be channeling requests to a broad scope of libraries. Searchers, then, must develop an understanding of - and, yes, indeed an expertise in - cataloging developments.

*"Searchers, then, must
develop an understanding of...
cataloging developments."*

Although modifications in bibliographic description constitute a major contribution of the second edition of the Anglo-American Cataloguing Rules, most recent discussion has centered on the changes prescribed for the form and choice of access points. It is not the philosophy upon which these changes are based that has precipitated discussion so much as the effect these changes will have on existing catalogs.

UNDERLYING PRINCIPAL IS TO SIMPLIFY

A basic goal of AACR 2, which should be foremost in our minds always, is improving the ease with which the reader can approach the catalog and discover the information s/he needs. The underlying principle of AACR 2 is to simplify the catalog for the user, and to provide access to information through a more direct route, in a form more compatible with the mentality s/he brings to the catalog. This is a commendable goal. What this principle means to existing collections and their catalogs, in practical terms, is the cause of some hand-

wringing and headaches among librarians. It is certainly preferable for a reader to discover e.e. cummings in the catalog, under "Cummings, E.E." instead of "Cummings, Edward Estlin" or to find E.T.A. Hoffmann under "Hoffmann, E.T.A." instead of "Hoffmann, Ernst Theodor Amadeus" since this is how the reader frequently identifies these authors in their most familiar forms. But many libraries in this day and age do not have the financial wherewithal to transfer all their existing entries of materials by or about Edward Estlin Cummings or Ernst Theodor Amadeus Hoffmann to "E.E. Cummings" and "E.T.A. Hoffman." Once AACR 2 is adopted, materials on these authors will be split in the catalog. The user as well as the interlibrary loan searcher will be forced to consult the catalog under two different headings. Following the route of "see" and "see also" references, the search will involve the traditional access point as well as the more easily recognized, revised heading indicated by AACR 2.

Points of access and forms of headings become considerably more complicated than the two fairly straightforward ones presented above. Several examples of the elaborate changes in store for the library world may help to clarify the complications that will have to be addressed.

PSEUDONYMS

The use of pseudonyms by many authors presents an interesting situation under AACR 2. Michael Gorman has clearly explained the new rule on this matter: "Where a single name has come to be the name by which all that person's works are identified..., it is used as the heading for that person. Where no one name has emerged as the dominant name..., each name used in authorship is used as the heading for works associated with that name."² An obvious example that comes to mind immediately is Samuel Clemens whose works, according to AACR 2, should be found under Mark Twain. In the case of Charles Lutwidge Dodgson, however, this author's writings would be split between Lewis Carroll and Charles Lutwidge Dodgson. The novels of John Creasey would be absolutely diffused in the catalog with entries appearing under Anthony Morton, Gordon Ashe, Jeremy York, J.J. Marrie, and Michael Halliday. Although many situations approximating the latter example are unlikely, multiple entries for works by one author remain an implication of AACR 2 that must be considered.

In the cases of classical authors, the forms of headings will take on the familiar English

spellings, abandoning the traditional but more elaborate renditions. Consequently, for example, "Horace" will appear in our catalogs instead of "Horatius Flaccus, Quintus." "Terence" will be the preferred form, not "Terentius Afer, Publius." To the uninitiated, this all seems to amount to good sense and logic. But to the long-time researcher in a field, or to the experienced ILL searcher who has been privy to the secrets of the catalog, these changes mean re-learning tricks that were mastered previously. Moreover, to the catalog user of any level of sophistication, these changes will entail entering the catalog twice to discover the works of a single author. No longer will the catalog searcher be able to determine all holdings of a library on a given author in one simple consultation of the catalog; as mentioned earlier, most large libraries do not have the means (in either finances or staff time) to convert previously acceptable headings to the new forms.

CORPORATE HEADINGS

In addition to personal name headings, corporate headings will change significantly. For example, "American Bar Association. Section of Corporation, Banking and Business Law. Committee on Corporate Laws" will become "American Bar Association. Committee on Corporate Laws" and "American Federation of Labor and Congress of Industrial Organizations" will become simply "AFL-CIO."

Many of the national agencies for which we have become accustomed to searching under "United States" will now be found directly under the issuing body. "Oak Ridge National Laboratory" will be the access point instead of "United States. National Laboratory, Oak Ridge, Tenn." "Manned Spacecraft Center (U.S.)" instead of "United States. Manned Space Craft Center, Houston, Tex." will be the appropriate heading. "National Cancer Institute (U.S.)" will be the standard form rather than "United States. National Cancer Institute." Anyone who has waded through drawers and drawers of catalog cards labelled "United States" investigating the literature of a specific body will certainly find the new recommendations advantageous, but one must recognize that only newly acquired holdings will be found under the new headings. Headings for many foreign organizational bodies will drop the initial geographical entry point. We will see "Paris. Bibliotheque Forney" changed to "Bibliotheque Forney;" "Paris. Musee d'art moderne de la ville de Paris" to "Musee d'art moderne de la ville de Paris;" and "Vienna. Universitat" to "Universitat Wein."

Subsections of institutions will be accessed directly under the specific component rather than through the parent institution. Examples in this category mean that the catalog searcher will consult "Avery Library" directly rather than "Columbia University Libraries. Avery Architectural Library;" "Baker Library" in lieu of "Harvard University. Graduate School of Business Administration. Baker Library;" and "Rose Art Museum" instead of "Brandeis University, Waltham, Mass. Rose Art Museum."

MULTIPLE ENTRY POINTS

All of these changes in both personal names and corporate names have the same net result for the catalog searcher. He or she will find it necessary to approach the catalog from more than one entry point. Appropriate cross references will ease the way, but the time spent searching the catalog in an effort to fill interlibrary loan requests will certainly be increased.

"...the adoption of AACR 2 should be viewed as an exciting time."

Since the policy of superimposition —the principle by which a library could continue cataloging materials under already established headings — has been abandoned, all of these changes in forms of headings (and indeed many more) will have to be confronted by even the casual user of the catalog. The interlibrary loan searcher will not just stumble upon these changes, but will need to be capable of converting the information given in interlibrary loan requests into the new acceptable forms. Or taking a request that is formulated according to the standards of AACR 2, the ILL searcher may have to reconstruct this form into a previously acceptable heading if the item were cataloged before the adoption of AACR 2. As mentioned earlier, appropriate cross references will provide the necessary links so that searching activity does not devolve into a guessing game. In spite of this, however, it will be frustrating for the

searcher who thinks s/he has the best approach to a problem to discover a "see" or "see also" reference instead of the bibliographic information specifically sought.

ADDITIONAL TRAINING

In addition to potentially increased time in the actual searching procedure, interlibrary loan departments will face more time-consuming training periods for searchers. It will be necessary to acquaint these staff members with two sets of rules. Although AACR 2 represents an advance in the logic of dealing with information, the older practices cannot be simply ignored since so many libraries' holdings will remain in these other forms.

Most interlibrary loan departments in large research libraries consist of one professional librarian and several assistants. It is the responsibility of the librarian to instruct the searching staff in the vagaries of the catalog. Since more than one set of rules is shaping our catalogs, the librarian will have to ensure that searchers have a good grasp of cataloging practices. It is not enough to decide that from this day forward new searchers will be trained to cope with different sets of rules governing the catalog. One cannot lightly pass over the retraining necessary for the experienced searcher.

In spite of the additional time and effort spent to smooth the transition into these new rules — two commodities already stretched to the limit in most libraries — the adoption of AACR 2 should be viewed as an exciting time. As libraries have developed, as collections have grown to enormous proportions in the large research institutions around the country, specialization in library activities has become almost a byword. What AACR 2 highlights is the integration, the inter-relatedness of these activities. Though specific responsibilities will remain, the new changes in store for us help us realize that we are not only catalogers, or reference librarians, or heads of circulation, or interlibrary loan staffs, but also part of the library community whose main objective is to provide information to the reader and in this way to serve him/her.

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THE IMPACT OF AACR 2

ON A MEDIUM-SIZE COLLEGE LIBRARY

By Joan K. Marshall,
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Brooklyn College celebrated, during the academic year 1980/81, its 50th anniversary. There was much pomp and circumstance. One outstanding event of the year, however, proceeded without fanfare or ceremony. With regret, the Library closed its 50-year-old catalog. The last cards were filed into the catalog during the month of December 1980; subject heading changes that were pending when we stopped filing were completed in May 1981. The catalog is frozen.

The January 2, 1981 implementation of AACR 2 (Anglo-American Cataloging Rules, 2nd edition) by the Library of Congress forced most American libraries to a consideration of the future of their existing card catalogs. A number of solutions to the problem of reconciling conflicts between the form of heading already existing in our catalogs and AACR 2 headings were proposed.

RECONCILING HEADINGS

Interfile or close were obvious options. Other possibilities considered by some catalog librarians were: 1) file all nonconflicting entries in the existing catalog and establish a separate catalog of the conflicts — presumably these would be dealt with, somehow or other, at a later date; or 2) do the opposite, file all AACR 2 entries in the existing catalog and establish a separate catalog of old entries that conflicted — presumably to be...; or 3) find a job in public services and make it a life mission to warn the user of the hazards of trying to use the catalog.

The two possibilities seriously considered at Brooklyn College were interfiling all entries or closing totally. Interfiling AACR 2 entries, and reconciling conflicts as they arose, would, of course, have been the ideal solution. The implementation of the rules — rules which are supposed to provide more direct access to materials and make the catalog easier to use — would be transferred to the user. A few users who had become accustomed to our peculiar way of doing things might have been surprised that we had finally decided to call Mark Twain, "Mark Twain," Stendahl, "Stendahl," and the University

of California, the "University of California," but they would soon have become accustomed to our new-found common sense.

The adoption of this alternative, however, presupposes a number of other factors being favorable: sufficient space, either in the present catalog or for additional catalogs, a catalog of somewhat limited size, and adequate staff time. None of these factors was favorable at Brooklyn. Our present catalogs (Author-Title and Subject) were filled near capacity. Adding catalogs for expansion would have displaced reader seating which was already in very short supply. And unlike a rational card catalog expansion (which is itself time consuming), the expansion required by refile changed entries under AACR 2 would be reactive — it would not be possible, for example, to predict the need for space in the "U" trays to accommodate all of the "University of..." entries that would continue to appear years after. The very expensive card shifting would continue for an indefinite period of time.

The size of the catalog also mitigated against our adopting this ideal solution. Brooklyn's public catalogs contain over 2 million cards. Not a huge catalog by research library standards but large enough. It seemed very likely that, in instances of large numbers of cards requiring change and/or shifting, we would opt for split files connected by references (as we have often had to do in the past in the Subject Catalog). This would result in mini-closed catalogs within the catalog.

"[Two catalogs] the file arrangement might well differ significantly."

The user would still have to look in two places. And, in each of the two places, the file arrangement might well differ significantly. There are significant changes in uniform title and subordinate body entry rules, for instance.

Mini closed catalogs within the old catalog would present the same problem as a closed catalog, namely two look-ups, and not offer the user the advantage of psychological distancing. If users use an admittedly "new" catalog for newly added materials, they are more likely to expect differences in entries and arrangement. Why else, after all (I hope they would ask themselves), would we have started a "new" catalog.

Staff considerations, or, more accurately, considerations of lack of staff, also figured in our decision to close our catalogs. Since the New York City fiscal crisis of the mid-70's, the staff in Technical Services has been reduced by more than a third. There has not been, at least in recent years, a comparable reduction in the book budget. Consequently, we again have a precrisis workload, but we still have a midcrisis size staff.

The success of interfiling obviously depends upon a close examination of each new entry being filed into the catalog. Is it really a new entry or does it already exist in the catalog in some pre-AACR 2 form? If the catalog has a good reference structure, the answer to this question will often be supplied by a cross reference at the AACR 2 filing point. But there are new forms from which it is unlikely a reference was made. How many American catalogs have a reference from "Andersen, H.C." (new form) to "Andersen, Hans Christian" (old form)? How many have a reference from "Bill, Buffalo" (new form — unless LC has relented on that strange decision) to "Cody, William Frederick" (old form)? (Brooklyn has a reference from "Buffalo Bill" but not from the name in inverted order.)

The decision to interfile into a catalog of considerable size and age such as Brooklyn's would necessitate making a considerable commitment of staff time to the analysis of supposed new entries going into the file. And it would have to be a very long term commitment. There would be no way to predict the end of the possibility of conflict.

Considering the size of our staff and our workload, our choice, as we saw it, was between attempting to perfect one file for the convenience of the user or making available new titles needed by the user. We chose the latter and closed our catalogs.

The obvious disadvantage to this choice is split files. Users are likely to be most displeased by those files that have been split without

apparent cause. To take a simple case, works by an author such as John Crowe Ransom, who always used the full form of his name, will be split although the form of his name will be the same in both catalogs. Former LC practice dictated use of the full form of name; AACR 2 dictates use of the most commonly used form of name. In the case of Ransom, the application of either rule yields the same result. We will be able to give a rationale that users may accept for splitting Clemens and Twain, but I doubt that they will accept seemingly unnecessary splits without question and some disgruntlement.

"...regard those existing records as the past and attempt to design a better future."

LINKING OLD AND NEW

Having accepted the existence of split files, and the attendant user disservice and dissatisfaction, the question of creating or not creating links between the old and new catalogs had to be addressed. Links would certainly be desirable. Without linking references, the user referred from "Twain, Mark" to "Clemens, Samuel" in the old catalog would be referred from "Clemens, Samuel" to "Twain, Mark" in the new catalog without any explanation of why he or she was being led on such a merry chase.

Ideally, in the old catalog under both the reference and the entry there should be a note directing the user to the proper form of entry in the new catalog; there reciprocal notes should also appear in the new catalog. Establishing these links, however, creates the same problems presented by attempting to interfile: the staff time required, the possibility of not recognizing that a link is needed, and the long time commitment to review of new entries being filed into the new catalog.

Again, we chose the pragmatic rather than the ideal solution. We are not making "note-type" linking references between the two catalogs. Users are being led on a merry chase, and many will undoubtedly become confirmed in the opinion that libraries are run by neurasthenic ninnies for some obscure purpose of their own. We are, of course, making references in the new catalog from possible pre-AACR 2 forms of names so that the user should, at least, find a

reference in the new catalog from the form of name used in the old. But the old rules will fade from memory, and as that happens, the likelihood of two different, and unconnected, forms of the same name appearing in the catalogs will increase.

The new catalog, for so it is called, is still too new to have had much of an impact on users. It is often overlooked. It is in the same area of the Library as the old catalogs, and there is a sign on it that proclaims: NEW CATALOG. A flyer that describes the new catalog and how to use it is in place next to the sign, but the stack of flyers does not seem to diminish. We intend (as soon as they are printed) to file an "above the rod" SEE ALSO NEW CATALOG card in each tray of the old catalog (a device in use at the CUNY Graduate Center Library). Perhaps this will focus attention on the fact that two look-ups are necessary. (The New York Public Library experience, however, when its catalog was closed was that the new catalog was not used heavily until it was of considerable size.)

Since we are still unable to measure the impact on users of the split catalog, we cannot evaluate our decisions in light of public services considerations. We can guess that the need for reference assistance in using the catalogs will increase; we can guess that many users will overlook one catalog or the other and miss finding wanted materials; we can guess, but we do not yet know. We have had ample opportunity, however, to evaluate our decisions in light of technical services considerations, and we are convinced that closing was for us the only viable option.

"[American libraries did not consider] non-implementation of the new rules."

CATALOGING WORKLOAD

The implementation of AACR 2 has had an enormous impact on the workload in cataloging. The backbone of our cataloging unit is our clerical copy cataloging staff. All titles for which there is LC copy have been processed, using OCLC, by this unit for many years. We are fortunate in that we have had very little turnover; the staff had developed a good deal of expertise in cataloging rules and practices and in

the establishment of name and subject authorities. They worked, for the most part, without direct supervision.

With AACR 2 implementation, there no longer is any routine copy cataloging. Every name, personal and particularly corporate, appearing on a record must be considered as a candidate for AACR 2 revision. Every name and uniform title "flipped" by OCLC to conform to AACR 2 must be examined to determine if the flip was adequate. For example, was the flip a one-for-one change — Clemens to Twain — or only the transposition of certain elements in the entry — date and place in a conference name? If it was the latter, the unflipped portion of the name must be evaluated for conformity to the new rules. Every use of a corporate body as author must be eyed with suspicion. Every LC name authority record must be evaluated in terms of valid AACR 2 entries and their references that were formerly, as a result of superimposition, used as cross references by LC.

The staff in cataloging, administrative, professional, and clerical, has had to have extensive retraining. Cataloging production, almost needless to say, was down during the first part of the year; it is beginning to pick up again. If we had not closed the catalog and, therefore, had the added problems of interfiling and shifting new and old cards, cataloging production would, we firmly believe, still be down.

To move from the negative to the positive aspects of having closed the catalog, closing has given us the opportunity to reconsider past practice. Catalogers are a very conservative breed. Radical change, even if seen as highly desirable, is often rejected because of the impact it would have on existing records. Since radical change has been thrust upon us, we are able to regard those existing records as the past and attempt to design a better future.

The card catalog served the American library community very well in the past. It will undoubtedly continue to serve very well for years to come in many small libraries. In larger libraries, however, it has long been recognized as an expensive and unwieldy tool. Filing into a large catalog is a very complex task. If it is to be done well, it must be done by high-level, well-trained personnel at considerable cost to the institution. The cards themselves deteriorate and are easily mutilated. (We regularly find cards that have had the call number corner torn off.) Theoretically, revision of entries in a card catalog is easily accomplished — pull the cards

and revise them. Actually, manual revision of extensive numbers of cards is often prohibitively expensive. Cards requiring revision, particularly subject cards, are often not changed. The file is closed, and the user is instructed to see the new entry for works cataloged after the date of closing.

ALTERNATIVES THROUGH AUTOMATION

Alternatives to the card catalog format are available now: COM (computer output microform) and/or on-line catalog access. The disruption resulting from the implementation of AACR 2 has given us a push toward considering those alternatives.

CUNY libraries, through participation in OCLC, have available a machine readable cataloging data base. In late 1978, the libraries began to plan independently for AACR 2 implementation. Three of the senior colleges announced their intention to close their catalogs — Brooklyn, City, and the Graduate Center. The impending disruption in all the libraries, and the availability of a machine readable cataloging data base, prompted the CUNY Council of Chief Librarians to consider whether this might be the time to develop a union catalog. The need for a union catalog of CUNY-wide holdings had long been recognized, but a ready means of implementation had not been available.

UNION CATALOG

In early 1979, the Council appointed an ad hoc subcommittee to study the feasibility of developing a CUNY union catalog. The subcommittee reported to the Council in September 1979 strongly recommending the development of a union catalog and outlining the steps that had to be taken to implement that recommendation. The Chancellor of the Board of Higher Education (CUNY's governing body) had appointed a Task Force on CUNY Libraries that was working at the same time. The subcommittee's recommendation was endorsed by that group and became part of its recommendations to the Chancellor.

Although the time table for the establishment of a union catalog is not the time table envisioned by the ad hoc subcommittee (they being dreamers who believed they could speed up the bureaucratic process), we are now confident that CUNY will have a union catalog at long last, perhaps as early as mid-1982. A librarian (on temporary leave from Brooklyn College) has been appointed to work full-time on refining the union catalog proposal. Funding has been

promised. One stumbling block to the union catalog proposal, the lack of funding for OCLC participation by the community colleges, has been removed. In 1979 all of the senior colleges, but only one community college, were members of OCLC. In 1981 17 of the 19 CUNY units are OCLC participants, and one community college has an independently developed MARC compatible machine readable data base.

There are many problems that have to be resolved. Do we include only post-January 1, 1981 — that is, only AACR 2 — records in the union catalog, or do we use all of the machine readable cataloging available to us? If we include pre-AACR 2 records, how do we make them AACR 2 compatible? And there is another very sticky problem. CUNY libraries have joined OCLC at various times, beginning in 1974. A title cataloged by City College in 1974 is part of the CUNY data base. A number of other CUNY libraries may hold the same title, but in those institutions it was cataloged manually and is not part of the data base. The union catalog would only reflect City's holding of the title unless we do a retrospective conversion of all of our collections. Is retrospective conversion feasible?

COLLECTION DEVELOPMENT

Despite the problems, which will be resolved most probably by some short range and many long range solutions, the prospects of a union catalog are exciting. A CUNY union catalog will allow us to readily determine areas of strength, of weakness, and of duplication. Knowledge of duplication, in particular, would serve both the user and the development of our collections. In terms of collection development, knowledge of monographic duplication would be a plus; knowledge of serial and monographic continuation duplication is becoming an essential. Continuing publications have always demanded the commitment of an ever greater proportion of library budgets; in these inflationary times, serials commitments are seriously eroding our ability to develop our monographic collections. Knowledge of duplication will allow us to assign areas of collection development responsibility for these materials to various CUNY units; it also will allow us, in times of severe budgetary constraint, to cancel titles in a coordinated and responsible manner.

From the cataloging workload point of view, a union catalog would also give us the ability to share cataloging maintenance. Through LC and OCLC we have had the advantage of shared cataloging for many years.

Shared cataloging, however, merely provides entry and description; the integration of the cataloging must be done locally and in each library. An automated union catalog will allow us to share these maintenance responsibilities. The first unit cataloging a title would do the authority work needed to integrate the entries associated with it into the union catalog data base. In other words, the first CUNY unit establishing the entry for the University of California or Mark Twain would do the authority work for itself and, therefore, for all the other units.

SHARING REVISIONS

We would also share responsibility for major catalog revisions such as subject heading changes. One for one subject heading changes should be readily taken care of in an automated catalog with a linked authority file. Changes such as the one from "CHILD CARE" to "CHILD DEVELOPMENT" or "CHILD PSYCHOLOGY," however, require an examination of the cards (and often the materials) to determine which of the new headings is to be assigned. This kind of change could be parcelled out among the various CUNY units.

I believe most librarians, whether they have closed their catalogs or are attempting to integrate old and new entries, view AACR 2 with mixed emotions. A catalog constructed in accordance with AACR 2 rules should be easier to use. Mark Twain is predominantly known as Mark Twain not as Samuel Clemens. The name of the University of California is just that, not "California. University." But is that future ease of use worth the present disruption in access that AACR 2 implementation has caused in so many libraries?

An option that was not considered by American libraries was non-implementation of

the new rules. This would, of course, have been totally impractical considering our dependence on LC. But perhaps it should have been considered seriously. A very large part of the impetus toward code revision was the reconciliation of the differences between the North American and British editions of AACR 1. This reconciliation was deemed imperative to the successful exchange of bibliographic data internationally. The successful exchange of bibliographic data, however, depends primarily upon the adoption of uniform rules for the machine readable description of a bibliographic item. This has been achieved through acceptance internationally of the various ISBD (International Standard for Bibliographic Description) formats. Choice and form of entry are really local concerns. It was not essential to the international exchange of bibliographic data that we implement the choice and form of entry provisions of AACR 2.

FUTURE ON-LINE CATALOG

Making a break with the past in order to make the future catalog easier to use is also an argument that had been advanced to support implementation of AACR 2. But the catalog of the future will be an on-line catalog. When we are cataloging for an on-line catalog environment, we will not need rules for choice and form of entry. We will need rules for establishing all possible forms and choices of entry a user might associate with a particular record. The concept of "correct" entry to which we have all become so accustomed will no longer exist. The user will be able to retrieve an item by means of what we now consider to be an "incorrect" entry, that is a cross reference. Searching under Clemens or Twain should yield the same result.

I am not sure that we did not make our break with the past prematurely. Our future was not yet quite in place.

SALARY COMPENSATION SYSTEMS

The Office of Management Studies of the Association of Research Libraries has published a paper by William G. Jones of the University of Illinois on Salary Compensation Systems for Librarians. The study covers 10 large academic libraries and describes the salary systems, reviews broader organizational issues and suggests further areas of study. Request OMS Occasional Paper #5, May 1981; cost is \$8 plus \$2 handling from SPEC Center, ARL 1527 New Hampshire Avenue, NW., Washington, DC 20036.

AACR 2 IMPLEMENTATION: MAKING THE TRANSITION IN AN INTEGRATED DICTIONARY CATALOG

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To freeze or not to freeze, that was the question. For the past year and a half, library literature has concerned itself with little else than the seemingly overwhelming talk of what to do about the implementation of AACR 2. Most libraries have now made their choice. Every library must answer for itself whether its choice is the most appropriate one. In making those choices, however, we all have had to analyze similar problems. In the hope that some libraries which have not yet felt the full impact of AACR 2 headings might benefit from our experience, I will give a generalized description of the history of our decisionmaking and the solutions to specific problems. I will describe workflow changes and the principles which have guided workflow patterns, describe staffing commitments to the implementation, and assess the results today.

The F. W. Crumb Library at SUNY Potsdam is a medium-size academic library having 350,000 volumes which adds approximately 9,000 new titles per year, of which one-third to one-half are cataloged government documents. We are an OCLC member library and are currently engaged in a full retrospective conversion of our holdings. For the past 18 years, we have maintained close authority control with extensive cross references. We have a tradition of concern for ease of user access and, if finger stains can be considered an index of use, we have a heavily used public catalog.

By spring of 1978, we thought we knew enough about AACR 2 to determine that it would be both possible and desirable to retain a single, integrated catalog. Once that fundamental decision was made, we were able to identify the problems that would inevitably arise and seek the solutions which would allow for the most orderly implementation we could afford.

WHEN TO IMPLEMENT

The first question we had to confront was when to begin implementation. Potentially, we

had two choices: begin on January 2, 1981, the date the Library of Congress would cease to use pre-AACR 2 headings; or begin as soon as established AACR 2 forms of headings appeared in published form. Since we had begun a retrospective conversion in June 1979, it seemed imperative that we begin at the earliest possible moment. Any delay would only increase the number of machine-readable records on our archival tape that would not contain AACR 2 headings. Therefore, we began converting our records to AACR 2 form in November 1979, when the Library of Congress published its first AACR 2 headings in Cataloging Services Bulletin, no. 6, Fall 1979.

HOW TO ORGANIZE FOR IMPLEMENTATION

Deciding what to do and when to do it was much easier than deciding how the total implementation would take place. The one certain factor affecting our decisions was the knowledge that little, if any, special money would be available for making the transition to AACR 2. Therefore, we had to look very carefully at the staff we had and organize the implementation accordingly. That analysis concluded that the primary workload had to be maintained at the clerical and student assistant level. Consequently, the following decisions were made eliminating the need for professional evaluation and judgment of individual headings.

All AACR 2 headings were divided into two categories: if the entry element was the same in the AACR 2 heading as in the pre-AACR 2 heading and there were more than three cards in the catalog, both forms would be interfiled; if the entry element differed or there were fewer than three cards in the catalog, the headings on the cards were changed. When headings were to be interfiled, high-rise guide cards with both forms of the headings typed above the card file level were added to alert users that two different forms of a heading were interfiled. Whenever necessary, the cards were moved to the location where the AACR 2 form would file. No corrections were made on the cards in the

public catalog, but all tracings on the shelf list cards were revised so that when the item was reconverted to machine-readable form, our archival tape would be corrected. When the AACR 2 entry element differed, we made labels using pin-feed stock on the printer attached to our OCLC terminal to change the headings and the tracings on the shelf list cards. Pencil corrections were also used when the change was very minor.

When the LC authority file became available on-line, conversion to AACR 2 accelerated dramatically. Workflow for both the retrospective conversion and new cataloging now included the search for the AACR 2 form for all headings. Students doing the reconversion checked the authority file for all headings, made the correction on the on-line bibliographic record, updated the record, and produced a printout of the authority file. The process worked very similarly for new materials. Copy catalogers checked the on-line authority file. When they found a heading that differed from the already established form, they corrected the record and printed a copy of the authority file record. The authority file printout then became the organizing record for changing our catalog and our manual authority files. In both the reconversion process and the new cataloging process, the cards were filed in our manual authority file on a daily basis to control the duplication effort. In effect, for both processes, the authority work was moved to the front end of the process.

"...all authority work was moved to the front end of the process."

By the time AACR 2 was officially implemented by the Library of Congress on January 2, 1981, we had changed or interfiled several thousand headings and were rather settled in established routines. However, once the OCLC converted the pre-AACR 2 headings on the data base to AACR 2 form, several changes had to be made in the workflow for copy cataloging. A distinction now had to be made between those records which had undergone machine conversion and those records which were pure AACR 2.

NEW WORKFLOW PATTERNS

On records which had undergone machine conversion, copy catalogers could readily identify from the pre-AACR 2 form that transferred to the 870 field that the AACR 2 form was different without having to consult the on-line authority file. Copy catalogers quickly spotted the conversion errors and researched them. For records with 870 fields, copy catalogers forwarded the corresponding authority file number to a clerk who printed out the on-line authority record which controlled the card catalog and manual authority file conversion. Thus, the data base conversion was greatly simplified and reduced the authority file searching which had to be done.

Records entered in the OCLC data base in full AACR 2 form (as opposed to those machine-converted records) posed an altogether new set of problems for which we thought a different set of solutions might be found. In all workflow changes affecting authority work, we tried to keep two principles in mind: first, that workflow must establish consistent headings and maintain that consistency, and, second, it must keep the largest quantity of material (copy cataloging) moving through the department quickly. With the introduction of full AACR 2 headings into the data base, it now seemed possible to maintain those two principles by moving the authority process to the end of the line for full AACR 2 records. This seemed the best choice because all the headings on a bibliographic record would be in the form in which we wanted them. Therefore, the copy cataloger did not have to search the on-line authority file to correct a heading before producing the cards. What we did not know was whether the heading had already been used in our catalog in a pre-AACR 2 form and would need to be changed. Since that process can take place just as well after cards are produced, there is no longer a reason for a pre-cataloging authority check.

In other words, copy catalogers now required two workflow patterns: one for records in which pre-AACR 2 forms were identified before cards were produced, and one for pure AACR 2 which identified conflicts in our catalog after cards were produced. Consequently, to maintain control of the authority process, some method had to be established to distinguish card sets for pure AACR 2 records so their authority work could be done at the end of the process.

We made the distinction by adding a lower case "a" preceded by two diagonals following the

LC card number on the OCLC record for the pure AACR 2 record. The "a" then printed on the card and allowed us to quickly sort out all full AACR 2 records to be checked against our authority file to determine if we had used the heading before, and, if so, determine if catalog records had been changed already. If the heading had been used before, but our catalog had not yet been converted, the clerk returned to the on-line authority record, made a printout, and initiated the conversion process.

"...two workflow patterns in pre-AACR 2 forms were identified before cards... and pure AACR 2...after cards..."

Noncopy cataloging, which includes non-LC records, music, and serials all have their authority work done at the beginning of the cataloging process. In all of these categories our workflow has already generated a printout of the bibliographic record from the data base. This differs from copy cataloging in which, after a preorder search has already identified that LC cataloging exists in the data base, the book when received is forwarded directly to the terminal to be cataloged by a nonprofessional. The bibliographic record then becomes a simple device to carry to the authority file to determine whether a heading has already been converted to AACR 2. When the headings have not been converted, then once again, an on-line authority printout is made to initiate the record change process.

AUTHORITY FILE

For libraries which use their card catalog as their authority control, an adaptation of the same methods should work, if adequate cross references have been made for pre-AACR 2 headings and the person revising at the catalog check point has a fairly sound knowledge of the differences between AACR 2 forms of headings and pre-AACR 2 forms. One would have to be especially careful with personal names that had previously been established using the full form of the name when cross references might not have been made from the less full forms. The well-known cases are not likely to be missed, but there are a surprising number of authors who although they use their first initials on title pages, have been established for years with full

form of their names. The person filing "Miller, F. DeWolfe (Frederick DeWolfe), 1943-" would have to check that no cards were already filed under "Miller, Frederick DeWolf, 1943-", since these two names are unlikely to file together even in small catalogs.

Likewise, headings such as "National Measurement Laboratory (U.S.*)" would require a check under "United States. National Bureau of Standards. National Measurement Laboratory." However, unless a consistent and long-term practice of making cross references from subordinate bodies has been employed, there is a high probability that such conflicts will be missed. Libraries that do not have access to LC's on-line authority file might have considerably more work determining what the pre-AACR 2 form for a corporate heading might be. The authority file is available on microfiche, but it is at least six months behind the additions made to the on-line file.

SUBORDINATE BODIES IN CORPORATE HEADINGS

Thus far, I have described the mainstream of the workflow. However, every system has to accommodate the exceptional problems which do not conform to the routine procedures. For instance, what does one do about subordinate bodies in corporate headings when the parent body has been established in AACR 2 form, but the subordinate body has not been. For instance, in the pre-AACR 2 heading "United States. Library of Congress. Elizabeth Sprague Coolidge Foundation," the parent body, "United States. Library of Congress," has not been established as "Library of Congress." In AACR 2, will the subordinate body "Elizabeth Sprague Coolidge Foundation" enter directly, or will it continue to enter subordinately? We could read the rules, and make our best professional assessment. However, all our cataloging practices are geared to the acceptance of LC's established forms. If our best assessment results in a decision that differs from LC's, we will have a lot of cards to change twice. Also, one of our basic premises in the establishment of procedures for AACR 2 implementation was that there would be as little professional intervention as possible.

Consequently, whenever we cannot be absolutely certain that a subordinate body will enter directly or continue as a subordinate body, we take the following steps: 1) The parent body only is changed in pencil in the public catalog only to the AACR 2 form. (Added entries and

the data base are not changed.) 2) An authority card marked "Temporary" is established with the appropriate cross references from the subordinate body. At the first instance of use of the established subordinate body, we will be able to make all our records conform. If it enters directly, the cross reference will catch the conflict. If it continues to enter subordinately, the authority marked "Temporary" will identify its status. In the meantime, we have been able to maintain a consistent file without a great investment of correction time.

CHANGES IN CORPORATE BODY NAMES

A second problem in the authority process which requires careful thinking is the handling of corporate bodies whose names have changed several times. Successive name changes of corporate bodies were a problem long before AACR 2 was introduced, and many libraries, including ours, have learned to cope with the changes through the use of history cards, which direct users to all the forms of the name possible in the history of the body's publications. The problem has become greatly exacerbated, however, with the use of the LC on-line authority records. The Library of Congress has been establishing AACR 2 headings in the on-line authority records for more than two years. They have been working with one heading at a time, however. Thus, only the heading in the 100 field will be in AACR 2 form, while all the "see also's" in the 510 fields are non-AACR 2 headings. Likewise, the heading in the 667 field which

"...split files undesirable...for numbered series we tolerate the division..."

generates the history card does not contain the heading in AACR 2 form. In *Cataloging Service Bulletin*, no. 1981, p. 50, the Library of Congress explains that on all authority records generated after January 2, 1981, all the headings will be in AACR 2 form. In the meantime, however, there are many authority records which must be interpreted very carefully, if chaos is to be avoided. The detail of this process precludes an explanation in an article of this limited length, but the author would gladly send to interested libraries copies of the instructions prepared for our clerks to guide them through the maze. We have also been quite successful in printing the

history card onto pin-feed card stock directly from the OCLC screen, and then simply overtyping the appropriate headings.

SERIES ENTRIES

Monographic series have raised more problems with fewer satisfactory solutions than any other aspect of AACR implementation. First, they are a problem of volume. We maintain series access for all series for which the Library of Congress provides access. Because many of them are documents or originate from universities, they frequently combine the problem of requiring a change in the form of a corporate body with the problem of the likely change in the choice of the entry. Since the Library of Congress is examining each monographic series to determine the choice and form of all monographic series, access to the established forms has been gradual indeed. In the meantime, we continue to add dozens of titles per week which are parts of monographic series. Consequently, we have had to make a number of decisions which allow us to process the titles and, hopefully, not set up conditions whereby records must be changed more than once. In order to do so, we have regretfully established split files for numbered monographic series. Since many others will face this same problem, it might be worth a more detailed description of how we make decisions about author/title series during the copy cataloging process.

First, if the copy cataloger is working with a machine-converted, pre-AACR 2 record that has had an author/title series traced, cards are produced with the revised AACR 2 form for the author. The series, in most instances, continues to enter as an author/title series. We do this for several reasons. To begin with, the pre-AACR 2 form of most of these corporate bodies has already been changed in our catalog to the AACR 2 form. Therefore, the new series entry sets up no conflict in our catalog. For example:

Kansas. University.

University of Kansas lectures in the humanities. (pre-AACR 2)

University of Kansas.

University of Kansas lectures in the humanities. (after OCLC machine conversion)

The second reason we have chosen this course is that it can be followed without professional guidance intervention. The third reason is that the definitive guidelines for qualifying con-

flicting headings through the use of uniform headings has only recently been published in *Cataloging Services Bulletin*, no. 12, Spring 1981. Consequently, even if time for professional intervention were available, we considered establishing the uniform headings to be too risky.

As copy catalogers identify AACR 2 series which formerly have been entered under author/title, we establish a cutoff point and begin two files. "See also" references are made directing users to search under the title for series numbers which come after the AACR 2 form was established and under the author/title for earlier numbers. I consider split files undesirable. However, for numbered series we tolerate the division of the file, justifying it as somewhat analogous to present practice for successive entry. Unnumbered series follow the same pattern, except that when the AACR 2 form is identified the pre-AACR 2 headings will be changed and incorporated into one file.

When we are continuing split files, a temporary file is maintained at the terminal so copy catalogers can quickly identify those titles, check the cutoff number, and determine that the title they are cataloging conforms to the directives on the "see also" references.

All series never before established in our catalog are assessed to determine if AACR 2 is likely to produce a change in choice or form of entry. For about 80 percent of those thought likely to change, we establish what that change is likely to be. Series titles such as "research report," which we know will provide conflict in LC's catalog, we qualify according to the published guidelines. If the qualification is the corporate body, we determine that the AACR 2 form for that body has been established. If the corporate body has never been established, we do not generally revise the series. Noncopy cataloging follows the same practice, except that the AACR 2 form is determined before cataloging.

On the other hand, three major problems which serials pose have not been a special problem for us. The first problem: we considered was the effect of the significant reductions in choice of corporate author as main entry. We decided that, for the present, choice of entry was a problem we could ignore unless we were recataloging a serial because it had ceased publication or changed title. The public catalog provides access under both author and title. Also, we classify all serials and periodicals and continue the call numbers even when the entry changes, so shelf location does not pose a

problem. When we undertake serials reconversion, however, we will reconcile choice of entry in instances where problems such as uniform headings exist.

The second problem concerning serials, the change to AACR 2 forms of headings, does not differ in substance from monographs. It is seemingly more complex because we have serials cataloged under both latest entry and successive entry cataloging rules, a circumstance which makes little practical difference for us. When we have cataloged under latest entry rules, the added entries representing the previous manifestations of the corporate name are changed to the appropriate AACR 2 form for the name of the body appropriate during that period of its publication history. Likewise, the form of name is changed on serials cataloged using successive entry rules. Since we are retaining one integrated file, the third major problem of where to file serials when a new AACR 2 catalog is begun simply does not affect us.

I have attempted to describe in rather generalized terms some of the decisions we have made and some solutions to specific problems encountered. How much of the experience is transferrable to other libraries is difficult to assess. The transition to AACR 2 was perhaps not so difficult for us because we have always maintained fairly tight authority control over headings filed in the catalog. Consequently, once decisions were made concerning what we were going to do, implementing the changes became a procedural matter concerning workflow reorganization.

Our conversion to AACR 2 began early because we were in the middle of a retrospective conversion. Libraries that do not catalog large numbers of documents or have not had to anticipate headings because of reconversion are probably only now beginning to have significant numbers of AACR 2 headings appear on cataloging copy. Our experience confirms the forecasts concerning the amount of changing that would have to be done. We have been making changes since November 1979, and the number of changes peaked during the fall and winter of 1980. By May 1981, we were encountering 75-80 AACR 2 headings changes per month, or approximately half of the peak load.

To accomplish these changes, we committed the following personnel: After procedures were established, a senior clerk who was already responsible for the authority process spent half to two-thirds of her time establishing

the authority records, retrieving old authority records, and searching the authority file and the card catalog when corporate name changes were involved. During the peak period, she often spent full-time.

A second clerk generated the necessary labels by typing the headings on the screen of the OCLC terminal and printing repeatedly to generate the necessary number of labels. Since this process is very fast, the total time is negligible. A student, working approximately 10-15 hours per week, changed the actual card catalog and shelflist records. A cataloger checked the LC authority file record against the newly created manual authority file record. In the instances in which an AACR 2 change had to be made on a record which we had already converted, a clerk reupdated that record at the OCLC terminal so the AACR 2 changes appeared on our archival tape.

DECISIONS HAVE BEEN EFFECTIVE

How effective are the decisions we have

made? If silence is consent, we have been spectacularly successful. Although we have not been following people around at the card catalog, we have had no declared instances of catalog users being confused by our high-rise interfile cards, nor dismayed over finding "Samuel T. Clemens" cards changed to "Mark Twain." Professional librarians accustomed to certain established forms of personal and corporate names are more likely to have to double think in order not to look under what is now the "see" reference. There have been a few cries of dismay over what the established form is, but that is a problem of the Library of Congress's code interpretation, and not of the implementation.

There is no doubt that the AACR 2 implementation has been a strain. That shown is largely the result of our decision to convert our archival tape and thus, in effect, our entire catalog. Libraries which are not involved in a retrospective conversion have a considerably smaller workload to handle. We have survived the worst of it. May you all fare as well.

ETHICS IN EDUCATION - A NEW SERIAL

Donald Craig, editor and publisher of Ethics in Education, has stated that this new publication is to be published 10 times a year as professional news and service letters for K-12 school people in public and private schools in the United States and Canada. Subscriptions are \$12 a year but multiple subscriptions will be discounted. The publishing address is: Box 580, Lunenburg, Nova Scotia, Canada BOJ 2C0 (Phone 902/634-8619). Manuscripts with return postage will be received gratefully in an attempt to balance information and features from both countries which will be worth reading and applying by school people.

The editor describes this new journal as follows:

One aim is to help close what seems to be a gap between theoretical, research, and scholarly work in the field and the practical needs and interests of school teachers, principals, and other school staffers.

Also, in this field of ethical/moral/values education, so bedeviled now with controversy and attacks from the right, school people desperately need to know more about what is going on in it, to get a broader view than is apparent within the bounds of their community, state, or province. I hope Ethics in Education, as an all-North American publication with a world view and a strong corps of editors in each country, will do some good in this area also.

The "charter issue" included book and film reviews; announcements of coming workshops and study opportunities; and articles on teaching fairness, the politics of getting community acceptance, school policy, and other topics. Future features will include special education, Ontario's religions exercises, schools of thought and practice in ethical/moral/values education, issues in world news, historic values conflicts, and ethical education worldwide; and reviews/resources and the historic background series.

By George J. Morrison, Project Administrator of the Putnam-Northern Westchester School Library Pilot Project, and Coordinator of Educational Communications at the Putnam-Northern Westchester BOCES, Yorktown Heights, N.Y.

AACR 2 - VIEWS FROM THE SCHOOL LIBRARIES

No discussion of the impact of AACR 2 would be complete without some input from the school libraries.

The Putnam-Northern Westchester School Library Pilot Project was asked to survey a number of its participating libraries in expectation that a consensus about AACR 2 would emerge. The results of that survey are interesting, not wholly unexpected, yet revealing of several underlying issues. School librarians indicated that there were some generalizations that apply to their libraries that might help bring their replies and concerns into better focus.

ORGANIZING MATERIALS FOR STUDENTS

Because the classroom teacher plays an intermediary role between the librarian and the student patron, school librarians can know very accurately what subjects students will be studying and are, therefore, able to hone their collections with some precision. The classroom teacher/librarian relationship provides yet another benefit in that needs can be anticipated, resulting in the timely expansion or deepening of collections. Because the student patron base is a known quantity with a fairly homogeneous range of interests, school librarians are better able to organize materials to help students more readily find the information they seek. This is particularly significant because to a large extent the student is gathering information rather than engaging in formal research.

The high school library, because it must respond quickly to students' needs for books and materials in support of required readings and written assignments for a broad curriculum, would seem the logical place for rapid change to the new cataloging rules to occur. This generally does not occur.

REACTIONS TO MAKING CHANGES

Several librarians complained that they have not yet seen the documentation on the

changes to be made under AACR 2. The Putnam-Northern Westchester BOCES Professional Library, recognizing the problem, has purchased several volumes which detail the changes and these books are making the rounds.

Those librarians who are familiar with the changes have called attention to the lack of staffing which prevents a concerted effort at changing old name forms to new ones. They generally take a pragmatic tack, approaching each change on an ad hoc basis. One librarian of a small suburban high school said, "I have not changed names but use 'see' cards for referrals. (Example: 'Twain, Mark' see 'Clemens, Samuel') and the books are shelved under 'Clemens.' " Another librarian when asked how she was maintaining the catalog with the large number of changed names and pressure of minimal staffing retorted, "Very poorly!"

A larger, well-staffed high school library had less of a problem in maintaining the catalog. That school's librarian replied, "We do reconcile the new names and headings to the revised AACR 2 rules as the entries come up and as time permits since the new headings are simpler and more concise." It was refreshing to have heard at least one kind word for AACR 2.

A more independent stance was taken by the head of one of the region's largest and most active high school libraries. "When we need to, for our internal use, we will make changes." This library incidentally is well known for the excellence of its cataloging and it has a reputation of working well for its clientele. There is great emphasis on tracings and extensive analytics. The philosophy here is, get the material into the hands of the student in the most expedient manner possible.

The concept of adapting the high school catalog to the needs of specific clients came up in other interviews. One librarian felt strongly on following current procedures and recommended relying on "see also" references to knit a

collection together. Implicit in the special cataloging was the involvement of the librarian. As if to underscore this point, another succinct comment was, "One knows one's own collection and its idiosyncracies." Indeed, one might well conclude that those idiosyncracies significantly

"...no one was or could be expected to convert to AACR 2 in [any] short term..."

differentiate the school library from its academic and public counterparts. With the exception of the small college and special libraries, few other libraries need to have so much material for a relatively small patron base.

In the course of conducting these interviews, it became apparent that no one was or could be expected to convert to AACR 2 in any short term, systematic way. Pressed on the point, one librarian shot back, "when I need to — I'll panic and do something about it. There just

isn't time to approach it systematically. When I need to, I'll find a way."

Our elementary librarians, in those schools which have them, often divide their time between different buildings. Their task seems infinitely more difficult. Time is their problem. While many receive their new books already catalogued in accordance with AACR 2, double and split sequences have of necessity been created... and will remain until there is time to change them.

Questioned on whether or not the new abbreviations and punctuation are readily understood, few seemed overly concerned. Some did not understand them, others did. Most spend their limited time on other problems.

The unanswered question is what, if any, effect will an unsystematic approach to the new cataloging have on the creation of union catalogs and what are the implications for strong ILL and intersystem networking. My suspicions are that as long as we have dedicated school library media specialists, knowledgeable about their collections, and willing to reach out to teacher, student, and fellow librarians, we have little to be concerned about in the short term.

CONTINUING LIBRARY EDUCATION CALENDAR IN NEW YORK STATE

As a result of the activities of the New York State Continuing Library Education Advisory Committee last year and the past efforts of the South Central Research Library Council in publishing a calendar, SCRLC has been awarded an LSCA Title III grant of nearly \$8,000 to produce monthly a continuing library education calendar for Upstate New York.

The proposed Calendar will help identify suitable activities for librarians and support staff, and it can be used by program planners to check for potential date or subject conflicts. Using the mailing lists of the seven Upstate 3R's Councils, the Calendar will be distributed widely to many librarians.

In addition to information on programs in New York State, SCRLC will include information on programs in surrounding states and Canada and the major national meetings with each listing having the title, sponsor, date, and place and a contact person. South Central is soliciting material for the Calendar and would also like to get comments on the content, format, and distribution as the project proceeds. Contact Jean Currie at SCRLC, DeWitt Building, 215 North Cayuga St., Ithaca, N.Y. 14850 (phone 607-273-9106) for further information.

THE SMALL PUBLIC LIBRARY AND AACR 2

By Christopher P. Gregoire,
Assistant Librarian, Clarence (NY) Public Library

Implementation of Anglo American Cataloging Rules 2 (AACR 2) has begun, and finally the reference librarians and the public are able to view some of the changes in the library catalogs. From a patron's point of view, the modifications of a catalog entry under AACR 2 are not so striking that they can readily be identified as much different from AACR 1 entries, except in a number of changes involving altered filing location. Accommodation of the new code by the small public library will require handling the filing differences between the two sets of rules. For the purpose of this article, it is assumed that the small public library does not perform its own cataloging, but procures it either from a central cataloging unit, or purchases it from another agency. Thus, the primary concern is the incorporation of AACR 2 entries into the library's catalog or catalogs. For an article dealing with AACR 2 and cataloging, see in this issue of *The Bookmark*, "Yet Another Article On AACR 2" by Gay Baines.

"paramount significance is...a personal author's name in the most commonly accepted form."

In fact, the AACR 2 rules which presage the greatest number of filing changes are logical, based upon common sense, and, therefore, in the best interest of a catalog user. The one item of paramount significance is the establishment of a personal author's name in the most commonly accepted form. This format, after it has been implemented, will eliminate frustration and wasted time on the part of a library catalog user. At such time that AACR 2 is in effect, and John W. Public looks up "Eliot, T.S." in the library catalog, he will actually find the information by and about T.S. Eliot that he desires. He will not find an instruction referring him to seek such information under the entry, "Eliot, Thomas Stearns," as Mr. Eliot has been

uncommonly known (except in many libraries). We may rejoice for the sake of better public service; there is one less stumbling block between the library patron and the information sought. Thus: "Tolkien, John Ronald Reuel" becomes under AACR 2 "Tolkien, J. R. R.," "Maugham, William Somerset" becomes "Maugham, W. Somerset;" "Lewis, Clive Staples" becomes "Lewis, C. S.;" "Stowe, Harriet Elizabeth Beecher" becomes "Stowe, Harriet Beecher;" "Andrews, Virginia C." becomes "Andrews, V.C.;" "Hoff, Sydney" becomes "Hoff, Syd;" "Grimm, Jakob Ludwig Karl" becomes "Grimm, Jakob;" "Christie, Agatha Miller, Dame" becomes "Christie, Agatha"...the list continues. (In these examples birth and death dates have been omitted, although they remain as part of the entry under AACR 2, sometimes with additional clarifying information.) There are other items in the new code fostering some different changes, but none with the import, for the small public library, of the aforementioned change.

OPTIONS IN IMPLEMENTING AACR 2 CATALOG FILING

The primary options in dealing with the filing changes resulting from AACR 2 are:

1. Close or freeze the old catalog(s), concurrently opening a new AACR 2 catalog(s).
2. Identify all AACR 2 entries with changed filing locations as they are received, and convert them (backwards) to AACR 1 format before filing into the catalog.
3. Convert the catalog into an AACR 2 format overnight through identifying non-AACR 2 filed entries, and replacing or modifying them to conform with AACR 2 filing.
4. Do nothing essentially different - continue to file new (AACR 2) entries into your mixed-bag catalog.
5. Adjust your catalog gradually to conform with AACR 2 filing, as you

receive or periodically identify the entries which differ from their counterparts in the present catalog.

OPTION 1

Some of the literature, in the past few years, has suggested that we seize the onset of AACR 2 as a great opportunity for closing or freezing the present catalog and initiating a new catalog. A new catalog is propounded as possessing only one filing (and cataloging) philosophy, namely AACR 2. Further, but often unstated, is the implication that starting with clean fresh entries, a catalog can be constructed without the filing errors of the extant catalog. This approach, progressive to an extreme (unless a library is changing catalog formats, such as from a card to an on-line catalog), has serious drawbacks. Who says that their catalog has no errors? And who can honestly state that a new catalog, when it has reached the same size as the old one, would not have about the same number of filing errors? Concerning clean and fresh entries, if the catalog is a card catalog, in 20 years those entries will not appear so clean and fresh. In the small public library, closing or freezing the catalog and starting another creates unnecessary expense and trouble for library users merely for the sake of some changes in the filing. Trouble for library users occurs when a patron is required to utilize two or more catalogs instead of one to access the collection. In many situations in which I have worked with patrons, it seemed sufficiently satisfying for a patron to comprehend and manipulate one catalog to find information, let alone two or more catalogs. (Let us not rule out the possibility of AACR 3, AACR 4, AACR 5, etc, in which cases one might end up with many catalogs, if this decision sets a precedent!)

"Then 'see also' cards are made to link the split files to each other."

OPTION 2

In most situations, the classic reactionary response to progress is to change all nonharmonious AACR 2 entries to a format consonant with the present catalog. This will indicate a need for staff to screen the incoming entries which are to be filed, so that the changes may be identified and adjusted to fit into the pre-AACR

2 filing scheme. The result is a continual drain of staff time in this task, with no end anticipated, because the catalog is not changing to eventually correspond with the format of incoming entries. Additionally, the catalog user, in this instance, is denied the benefit of the improvements of AACR 2 over former codes. In the case of a library with a new static collection (no significant amount of acquisitions or deletions to the collection), this option might be well advised. However, such a library cannot be considered representative of a public library. And the reality is that this option results in the perpetuation of an AACR 1 or otherwise filed catalog, even after patrons will be accustomed, it may safely be assumed, to the AACR 2 format encountered in the other library catalogs which they utilize.

OPTION 3

It must be admitted that this method is unrealistically stated because converting the catalog to an AACR 2 format is not an overnight task. It involves adjusting or replacing all catalog entries that are not syncretic, in terms of filing, with AACR 2. While most of the present catalog entries are filed the same as AACR 2, the number of changed entries that require adjustment is a sufficient percentage so that the small public library would be hard-pressed to synchronize the catalog rapidly and efficiently. The components of the method are: identifying the entries in the present catalog which are to be changed, pulling those entries from the catalog, adjusting those to or replacing those with AACR 2 versions, and refiling the entries into the catalog. Again, as in option 2, libraries with a static collection might successfully employ this technique, although presumably over a longer period of time. In such cases of static collections, option 2 would be easier to implement, while this option yields the benefits of AACR 2.

OPTION 4

To continue as before, now filing the new format into the catalog while ignoring the changes, is a viable solution for libraries whose resources (emphasis on staff time) are at their limit. Through normal acquisitions and discards over a period of time, the catalog will eventually attain a format that is chiefly AACR 2. The prime disadvantage with this option lies with the split files that will exist within the catalog during much of the long transition period. An example of this is having entries under both "United States. Library of Congress" and the

new format "Library of Congress." A prime advantage of this option is that it may be switched at any point to the most recommended option - option 5. And libraries with severe staff limitations that select this option will eventually have a catalog which is essentially AACR 2 in orientation, if they are willing to suffer the inconvenience of split files for a number of years.

A modification of this option would be to interfile the different forms of entries that are recognized as apparently the same entry under the two sets of rules. In this way, AACR 2 entries under "Linkletter, Art" are filed as if they were spelled identical to the existing catalog entries of "Linkletter, Arthur Gordon." This variation of option 4 still has the disadvantage of some split files for the entries that are not readily apparent as modifications of existing entries.

OPTION 5

In this recommended solution, most of the adjustments to existing entries needing modification are effected as the new format entries are filed into the catalog. Frequently, this will merely require the filer to line out, on existing entries, those portions not included for filing purposes in the new format. Using this technique, the new entry, "Slaughter, Frank G. (Frank Gill), 1908-" would indicate only the crossing out of the ill on cards in the catalog under "Slaughter, Frank Gill, 1908-." Entries so adjusted would appear as "Slaughter, Frank GH, 1908-." (Erasing might seem more attractive, but the time required to carry it out cancels its added appeal.) In the case of "Duvoisin, Roger Antoine, 1904-," the middle name, "Antoine," is lined out to adjust the entry to an AACR 2 filing orientation. Unfortunately, there are entries which require more than simple crossing off of certain portions to give them congruence with AACR 2 filing. Some examples of these: "Dostoevskii, Fedor Mikhailovich, 1821-1881" becomes "Dostoyevsky, Fyodor, 1821-1181;" "United Nations Educational Scientific, and Cultural Organization" becomes "Unesco;" "Disney (Walt) Productions" becomes "Walt Disney Productions;" and "International Bank for Reconstruction and Development" becomes "World Bank." These changes may be handled in two ways. The best way is to pull the old format, line out the heading, and type the new heading above it. The other way is to file the new format, while leaving the old format in the catalog. Then "see also" cards are made to link the split files to each other. "Colombo, Cristoforo" under AACR 1 becomes "Columbus,

Christopher" under the new format. There probably is a "see" reference from "Columbus, Christopher" to the old format. Under the best way of dealing with this change, the "see" reference should be removed from the catalog. Under the split file way of dealing with this change, the "see" reference may easily be transformed into one of the two "see also" references that will be needed. Under the split way of dealing with this change, the "see" reference may easily be transformed into one of the two "see also" references that will be needed. Larger libraries may tend to employ split files more frequently, as a result of the greater number of entries with which they must deal. The small public library should be able to avoid split files, thus making catalog use more efficient and less frustrating to patrons.

CONCLUSIONS

Sometimes one ought to consider the similarities, instead of the differences between AACR 2 and AACR 1. The two codes share the same language, alphabet, numeration, and basically similar filing rules. What is changing that will affect filing location in some instances is a limited percentage of entries. Of these entries whose filing location will change, for most the change is a minor rearrangement (where, for example, the surname of a personal author remains identical to its counterpart in the alternate code).

A little more than 20 years ago, most of the public libraries in Erie County, New York (many of them small public libraries) started receiving their new materials cataloged according to the Library of Congress (LC) Classification, in place of the formerly used Dewey Decimal Classification. In 20 years, through acquisition of new and normal discard of dated and worn materials, the transition to LC Classification is nearly complete in some, and fully complete in others of these libraries. Any of these small public libraries with remaining Dewey classed books now finds it a simple matter to have them reclassified to LC. Much of this situation is analogous to the small public library choosing option 4 with regard to AACR 2 and the catalog. In about 20 years it will be a simple matter to adjust any remaining entries that are incongruent with the then basically AACR 2 filed catalog. Furthermore, the small public library that is able and willing to put a diminutive effort into ameliorating the transition from AACR 1 to AACR 2 (selecting option 5, for instance) will facilitate the use of the catalog by patrons in a real sense of public service.

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VOLUNTARY RECOGNITION

Continuing education opportunities for librarians and information and media specialists have skyrocketed in the last several years. But many professionals are concerned that the various offerings are of uneven quality and that individuals attending the courses and workshops have no assurance that their attending will lead to any recognition or career advancement. The Voluntary Recognition Service (VRS) of CLENE, Inc., in Washington, D.C., has been developed to address these concerns. VRS has established standards of quality for continuing education programs and a system for ascertaining that specific programs meet these standards. Participation in the program by individuals is strictly voluntary, but interested participants in continuing education (CE) can ask that records of all their CE activities be kept in a centralized file, available for transcript requests. Also, qualified individuals can apply periodically for the formal Statement of Acknowledgement for Continuing Education.

The Registry, administered cooperatively with the American College Testing Program, is a centralized, computer-based system for storing continuing education records and for issuing transcripts. Interested CE participants can maintain orderly, national records of their learning activities in the Registry in two ways. When they complete VRS-approved programs, they can ask the sponsors to send records of their attendance to the Registry. As individuals, they can also enter records directly into the Registry for CE activities completed outside the VRS approval system. Completed activities which can be entered include academic instruction, practicums, workshops, home study, self-instruction, publications, and discussion groups among many others.

The Statement of Acknowledgement for Continuing Education is available on a three-year cycle to qualified individuals who choose to apply for formal recognition. To qualify, applicants must enter records of completed CE activities in the Registry. They must complete 120 contact hours of continuing education within a three-year period. At least 40 hours activities must be approved by the National Council on Quality Continuing Education or State or Multistate Councils.

Institutions, schools, individuals, and companies that provide or present continuing education programs can apply for VRS approval of their offerings to the National Council on Quality Education or to their State or Multistate Council. The National Council has established criteria for quality which will be used to assess the planning, design, and delivery of each program. If the criteria are met, the Council will award approved status to the program or activity. The sponsoring agency can cite this approval on promotional materials to let prospective participants know they will be attending a VRS-approved program.

For additional information, contact: Voluntary Recognition Service, CLENE, Inc., 620 Michigan Avenue, N.E., Washington, D.C. 20064.

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Port Washington Public Library*

GOING PUBLIC: A NONSPECIALIST'S VIEW OF AACR 2 IN THE SMALL PUBLIC LIBRARY

My initial reaction to being invited to submit a paper describing the impact of AACR 2 on public library service was one of considerable bewilderment (and, I must admit, a touch of neophobia). What impact? Isn't AACR 2 too new for its impact to be measured? And furthermore, I'm not a cataloger. My specialty is information — gathering, processing, storing, retrieving, and disseminating all kinds of information in many different formats. So why, I asked of no one in particular, should I ever consider tackling a subject so ill defined and about which I knew so little? The answers became apparent in very short order as I realized that my limited knowledge of the subject was the very reason for undertaking the assignment. Firstly, as a working librarian I should be familiar with something as important as AACR 2. Even though the full impact of its implementation won't be felt for quite some time, here was the perfect opportunity to learn. Secondly, because I am writing from the viewpoint of a non-specialist in cataloging, I can approach the problem from the "user" angle. My colleagues (I hope) will overlook my limited grasp of the intricacies of this highly complex and sophisticated area of our profession. The third, and perhaps the most important reason, is that catalogers ought to be aware of some of the problems faced daily by the "on-the-floor" librarian who must often act as the intermediary between the public and the card catalog.

Most catalogers, I must assume, have been closely following, *ab ovo*, the development of AACR 2 (a particularly difficult pregnancy, so I hear), while I for one have been merely a passive witness to this era of great change. In conversations with colleagues I learned that while some considered the implementation of AACR 2 a giant step for librarianship, others reacted quite differently. "There was The Godfather and there was Jaws," commented one librarian friend. "Then there was Godfather II and Jaws II. Can Godfather III and Jaws III be far behind?" I clearly understood her meaning. Another colleague with a strong classics background merely said, "*parturiunt montes, nascetur*

ridiculus mus." His meaning, too, was perfectly clear. That was his way of saying "big deal"! But "big deal" or no, AACR 2 is with us, and its impact will certainly be felt, sooner or later, by anyone who uses a library's card catalog.

"...we are certainly on the threshold of a new era in librarianship."

My curiosity about that card catalog was sparked by my very dependence on the creature. From my readings as well as from my conversations with other librarians I get the feeling that the card catalog as we know it is a doomed element in our thriving profession. AACR 2, it seems, is being touted in some quarters as the last cataloging system that will address itself to manual catalogs. With automated catalogs already in use in many large libraries, and many smaller libraries about to make the conversion, we are certainly on the threshold of a new era in librarianship. Perhaps, I thought, some small bit of nostalgia — a brief inquiry as to how we got to where we are — is not inappropriate as we gradually make the transition from a format steeped in tradition to one that promises much in the guise of new and exciting technologies.

CATALOGS FROM THEIR BEGINNING

There was, if you can imagine it, a time when books were few in number. Knowledge was not a universal commodity and the individual's need to know was not an established feature in our society. Many small libraries relied upon the memory of the librarian to keep track of the inventory on hand. A modest degree of sophistication was achieved by some libraries that maintained short, hand-written "finding lists," thus insuring against memory failure or staff turnover! But these lists were alms

always for the purposes of inventory and were by no means intended for use by the public. Early American library catalogs were printed in book form and again were not for use by the general public. The first of these catalogs appeared in 1723 and contained, in 106 octavo pages, the holdings of the Harvard College Library. The primary purpose of the catalog, in addition to its obvious value as an inventory of the collection, was to provide a means both for acknowledging and soliciting gifts to the library. To this end, books were listed in the catalog by donor as well as by author, size (!), and by shelf arrangement. Social libraries, too, produced catalogs of promotional nature. The 1741 catalog of the Library Company of Philadelphia included "A Short Account of the Library" detailing the advantages of membership. By the way, books in that catalog were listed exclusively by size! Other institutions included in their printed catalogs lists of members, copies of charters, as well as library rules and regulations.

The 1743 Yale book catalog was one of the first college catalogs that didn't contain an appeal for gifts, but rather addressed itself to practical use by students. This catalog was classed, with each class having numerous subdivisions. Whereas previous catalogs listed a book only once, the Yale catalog entered some titles as many as five times, in different subject groupings. Subsequent catalogs of other institutions included both author and title entries.

The 19th century witnessed an unprecedented surge in the establishment of public and other types of libraries. Education began to play a more important role in American society, and to this end libraries began to flourish throughout the country. Gradually the nature of the library catalog changed from a self-serving piece of advertising to a useful index to the collection, to be used by the individual in search of information. The 1837 catalog of the New York Mercantile Library Association stated that "the student may, with no assistance but this catalog, find...all that is proper to each matter of learning....The directors, in a word, were led to consider that a library is useful just in proportion as it possesses a guide to its contents." The preface to the 1840 catalog of the Philadelphia Mercantile Society maintained that "the members will require no other assistance than this catalog to find such books as they may desire."

FIRST USE OF THE CARD CATALOG

The card catalog — my own constant companion — arose out of sheer necessity.

Librarians always maintained files of cards or slips containing the information from which the book catalogs were prepared. As new books were added to the collection, new cards were made and interfiled with the old ones. Of course, printed supplements to the book catalog were necessitated by rapid growth of collections. These supplements were costly, and as the frequency of supplements increased, the idea of a public card catalog began to crystallize. Librarians who were at first reluctant to allow the public to use their private card catalogs began to grant their readers more access to these valuable files. By 1862 Harvard College had a card catalog of authors and subjects that was made available, for the first time, to the public. The Report of the Committee of the Overseers of Harvard College Appointed to Visit the Library for the Year 1863 (Boston, 1864) made mention of the committee's satisfaction with the library's new card catalog which it considered to be "the best mode yet devised of summarily answering the questions, 1. 'Is the book I want in the Library?' 2. 'What books in the Library treat of the subject on which I am seeking information?'"

By the beginning of the 20th century the card catalog was rapidly becoming the universally accepted format for listing a library's holdings. When the Library of Congress began issuing its printed card catalog in 1901, the supremacy of the card catalog over the printed book catalog was assured. Here at last was a format that could be continuously updated at relatively low cost.

"The public interest was to be served through better access to the collection."

My brief overview of the development of the card catalog serves two purposes. First, it illustrates a trend that began in 1743 when Yale first made its catalog available to (and meaningful for) the public. No longer was the library's catalog there for the exclusive use of the librarian. The public interest was to be served through better access to the collection. Secondly, the card catalog is in every way the heart and nerve center of the library's public service operation. The librarian's success or failure often depends solely upon the quality and integrity of the card catalog. So as a "user" of

the catalog, and as an intermediary between catalog and public, I have vested interest in the implications of any new cataloging system.

CATALOGING RULES CHANGE

Cataloging rules, too, have changed over the years since ALA first issued its Catalog Rules: Author and Title Entries in 1908. Each succeeding version, revision, or modification seemingly became less complex and more understandable by the public. Like earlier rules, AACR 1 was designed to meet the needs of general research libraries. The complexity of headings was generally reduced; technical aspects were modified to respond to the needs of the public. The transition from AACR 1 to AACR 2 is supposed to further "demystify" the cataloging process, owing in part to a series of options allowed nonresearch oriented libraries in adapting the new rules to their existing catalogs. I'd like to examine several aspects of AACR 2 and how they might have an effect on reader and reference services in small public libraries. It must be remembered that my own library receives most of its materials already cataloged by a central system, which in turn receives most of its cataloging information from LC. Therefore, much of what I say is theoretical and at times speculative. But these necessary licenses will allow me to make my comments, once again, as more of an observer than a participant.

I am concerned (in this article) solely with the impact of AACR 2 on the usefulness, completeness, and overall quality of the card catalog. I believe that what held true in 1837 ("a library is useful in proportion as it possesses a guide to its contents") is still valid — even more so considering the vast quantities of materials we have available to us today. I'd like to deal with three basic questions involving 1) convenience, 2) integrity, and 3) adaptability.

CONVENIENCE OF NEW HEADINGS

1. "Will the changes in entry headings really make the card catalog easier to use?" AACR 2 is truly a democratic code, according to which all materials regardless of medium or format, are integrated into a single catalog. Bravo. We've needed this for a long time. The search for information takes the average librarian far afield of the ordinary book. But what about the entry headings themselves? AACR 2 is not concerned with subject headings. We can only assume that LC will eventually modify many of its subject headings to correspond to AACR 2 author, corporate, and

geographic entries. I divide the new AACR 2 headings into three categories: those I like, those I don't like, but can live with, and those I hate with a passion! Here are some examples: I like, for the most part, those headings which represent a shortening or simplification of the old headings. "Mozart, Johann Cryosotom Wolfgang Amadeus" loses his first two names and becomes, as we've called him all along, "Mozart, Wolfgang Amadeus." Likewise, "Degas, Hilaire Germain Edgar" becomes "Degas, Edgar." Using the popular or commonly accepted version of a name is also a distinct advantage. Thus, "Porter, William Sydney" becomes "Henry, O.;" "Moses, Anna Mary Robertson" becomes simply "Moses, Grandma;" and "Abailard, Pierre" becomes recognizable as "Abelard, Peter." Of course, there are some difficulties inherent in even the best systems. You remember William F. Cody ("Buffalo Bill")? Well, good ol' Buffalo Bill will go down in the annals of AACR 2 as "Bill, Buffalo." Not, mind you, "Buffalo Bill" or even "Cody, Buffalo Bill," but "Bill, Buffalo." Corpor-

"...those headings which represent a shortening or simplification..."

ate names, too, have been changed. As a result, what was once entered as "American Federation of Labor and Congress of Industrial Organizations" becomes "AFL-CIO;" "Red Cross, United States, American National Red Cross" becomes "American National Red Cross;" and "United Nations Education, Scientific and Cultural Organization" is now known as "Unesco." I also like, to some degree, the elimination of the geographical location as a prelude to a corporate entry. Thus, "United States, National Cancer Institute" becomes just "National Cancer Institute." However, if the location is part of the name, the change is merely one of punctuation. "Georgia, Institute of Technology, Atlanta" becomes "Georgia Institute of Technology." If the geographical location is necessary for exact identification, then the location is added. Thus, "Boston, Museum of Fine Arts" becomes "Museum of Fine Arts (Boston)." These changes are truly helpful as they eliminate unnecessary wording and get right to the point.

Certain changes are not to my liking, but they can be lived with. In most cases there are individual headings rather than a particular class of headings. We're so used to calling him "Shaw,

George Bernard." He is not "Shaw, Bernard." This, of course, won't hinder his location in the catalog, but old habits die hard! I'm also divided in my opinion of the corporate entries for universities. "Oxford. University" becomes "University of Oxford;" "California. University" becomes "University of California." Of course there can be confusion, let us say, when comparing "University of Pennsylvania" and "Pennsylvania State University." But these difficulties are minor, and should only cause a minimum amount of adjustment on the part of the librarian.

There are, unfortunately, a series of changes that negate everything I've ever been taught about cataloging and filing. To think that corporate entities that begin with initials or with first names will be alphabetized that way instead of by their last names scares me considerably. "Lippincott (J.B.) Company" will now become "J.B. Lippincott Company" and placed in the "J's," not the "L's." "Disney (Walt) Productions" becomes "Walt Disney Productions" and loses its place in the "D's." This, I foresee, will cause the greatest amount of difficulty for librarians and public alike. I've been in this business for 15 years, and I only just learned that Bowker's first initials are "R.R.!" I would never dream of looking in the "R's" to locate the name of a company that every library school student knows as "Bowker."

Well, there they are: my gut feelings about a very few changes brought about by the implementation of AACR 2. My second question, then, deals with the integrity of the existing catalog.

AACR 2 AFFECTS CATALOG INTEGRITY

2. "How will AACR 2 affect the integrity of the card catalog as it exists in many libraries today?" The prospect of changing one's entire catalog is frightening at the very least. However there are changes that can be made to adapt to AACR 2 that shouldn't cause too much alarm. There has been much talk about closing off a library's old catalog and starting a new one using only AACR 2 cataloging. This is, for most libraries, just not feasible or even desirable. There are three possibilities that seem reasonable. First, you can change the old headings if they are few in number. If you're dealing with, let us say, fewer than 12 or 15 old headings, it shouldn't be too much of a problem to make new cards for these items. If the change from old to new heading is minor, why not just ignore the change and interfile the cards? Let attrition

take care of the rest! For example, where the difference is a matter of some punctuation, just take a bottle of white-out liquid and obliterate the offending period, comma, parentheses, or whatever. This is an ideal solution to the example given above of Georgia Institute of Technology. If the change involves a word, either at the beginning or in the middle of a series of words, you can either white out the unnecessary words or just draw a line through them. Here are some examples:

OLD FORM

Shaw, George Bernard
United States. Library of Congress
India (Republic). Parliament

NEW FORM

Shaw, Bernard
Library of Congress
India. Parliament

You'll be amazed at how many of the changes can be dealt with in this way.

There is a third possibility which involves a good deal of attention where the change in a heading is considerable. For example, if you have 50 items in your catalog under "Porter, William Sydney," you'll have to get ready for the new cards which will appear as "Henry, O." You can handle this in either of two ways. First, you can split your file and add cross references linking each form. But we already know from experience that the public will more likely than not just overlook the "see also" cards. My suggestion is to pull all the cards filed under "Porter," and type in "Henry, O." at the top of each card. This might seem a rather radical approach for many fastidious librarians, but here we are in the midst of a great change, so let's try to make it as easy as possible for the public. By the way, make sure your Technical Services Department changes all the spine labels!

"It is an improvement over older systems."

ADAPTING AACR 2

3. "Can small libraries adapt AACR 2 to their own needs?" The answer to this question

would be a definite yes, unless you depend on centralized cataloging or are part of a library network. However, there have been some precedents set with regard to adaptation. Hennepin County, Minnesota, has decided not to follow certain AACR 2 rules. They will not, for example, shorten "Eliot, Thomas Sterns" to "Eliot, T.S." They will not (and I applaud them for this) follow AACR 2 as regards corporate names beginning with one or more initials, abbreviations, or forenames followed by a surname. Therefore, at least in Hennepin County, "Bowker" will still be filed as "Bowker." Small libraries can refuse to adopt certain AACR 2 rules by simply altering any catalog cards they might receive from LC or from their central system. My feeling is that if you take the time to make the changes now, you'll save a lot of time searching the catalog later for an elusive main entry.

There you have it — the musings, ramblings, thoughts of an "on-the-floor" librarian facing the advancing tide of AACR 2 catalog

cards. Some of my cataloger friends will undoubtedly shake their heads and say what a poor misguided heretic I've become. Not at all. Despite my criticisms of some elements of the code, my overall response is highly positive. It is an improvement over older systems. It does make the card catalog easier to use. It can make the public service librarian a happier person. Of course, the next few years may very well obviate everything I've said in these pages. As we approach the age of universal automation, where linking between old and new forms of entry can be affected by machine, the need for the individual's ability to zero-in on a name or a subject will become greatly diminished. After all, a nod is as good as a wink to a blind machine, and "Cody, William F." can easily become "Bill, Buffalo" at the touch of a button! But for now, the small public library must rely on the skills of the public service librarian to unlock the mysteries of the card catalog. The impact of AACR 2 will, I feel, be a positive one. Its success will ultimately depend on the spirit and attitude of the profession as a whole.

INFORMATION NEEDED ON GOVERNMENT DOCUMENTS

National Library Service for the Blind and Handicapped (NLS) is establishing a central clearing-house of information about publications of the Federal government that have been produced in braille, large-type, or on discs or cassettes for use by visually and physically handicapped people. Information is needed from volunteer groups on documents they have produced.

For some years NLS has worked closely with Federal agencies to produce and distribute selected documents in special media. Much additional material has been produced by volunteers. A clearinghouse can significantly improve the distribution and usefulness of Federal government publications by disseminating current, accurate information for federal employees, and for the general public.

The program has three objectives:

- to produce a comprehensive file of current publications in special media
- to disseminate bibliographic information to individuals, libraries, and agencies about these publications and to direct inquirers to the appropriate source
- to provide a means for reporting bibliographic data on new publications and for withdrawing information about publications no longer current.

If your organization has produced any Federal government publications in braille, large type, or recorded formats, NLS asks you to contact Freddie Peaco, Volunteer-Consumer Specialist, National Library Service for the Blind and Physically Handicapped, Library of Congress, Washington, DC 20542. Standard report forms will be supplied.

THE IMPACT OF AACR 2 ON A COMMUNITY COLLEGE LIBRARY

*By Catherine T. Brody,
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Having survived the panic created by the adoption of the AACR 2 cataloging code and now half a year into living under the rules, we can look at the entire question of these multifaceted changes with considerable equanimity.

If university and large college libraries had reason to dread the advent of the new Anglo American Cataloging Rules (AACR 2) because of the mammoth problems of catalog maintenance, the libraries of two-year colleges had their own reasons to panic at the prospect of suddenly introducing the vastly different cataloging regulations.

SPECIAL NEEDS

Although for the most part such libraries are smaller and consequently have smaller, less complex catalogs, the nature of the materials cataloged and the special characteristics of the student bodies served have created special problems of their own. Our students for the most part are less sophisticated, less academically oriented, and many of them are returning to formal schooling after an extended interruption. As we know only too well, even the library's divided author-title, subject catalog is complex and confusing for them.

Our patrons have special needs and so do our materials. Community college libraries are often designated as "learning resource centers" and contain heterogeneous collections of book and nonbook materials. Consequently, the public catalog listings are strongly affected by the varied solutions offered by the new code.

New York City Technical College is an urban technical college under the aegis of The City University of New York. Although no longer a community college since July 1980, we remain a two-year college, and our difficulties in implementing AACR 2 are quintessentially those of a community college. For us, the decision to adopt the new cataloging code was intimately associated with our efforts to take what is for us the first step into automation by joining the OCLC network.

In this we have been successful. Coming late into the computerized cataloging system,

we have the added advantage that all of our OCLC records are in accordance with AACR 2 and need no modification. The story is otherwise, of course, when it comes to dealing with the catalog records of our large existing collection.

OPTIONS AND PROCEDURES FOR CHANGE

Like all libraries, we faced uneasily the various options available to us for dealing with the rule changes. We could close our card catalog and create a second catalog for AACR 2 materials. Three of the senior colleges within The City University (Brooklyn, City, and the Graduate Center) have adopted this solution. It can be straightforward and clean in that the old catalog could be left as is, without changes or even linkages with the new catalog. Another option could have been to permit use of two access points in the catalog file or to permit changing headings. The integration of new and old headings into one public catalog is the immediate solution that we — and most two-year college libraries — have adopted.

In making our own decision not to close our present catalog, we took into consideration the function of our library and the nature of our clientele. As an urban technical college, we draw upon an inner city student population relatively inexperienced in library skills. In following the mission of our parent institution we realize that our library must be responsive to the needs of these students.

Like most community college libraries, we have decided to keep our catalog open, to interfile wherever possible and to create a system of interrelated reference cards. These cards link the headings used in the public catalog before AACR 2 with the new headings used after January 1, 1981 and vice versa. Integration is achieved through manual updating. When the number of entries is small enough, the older form of entry is erased and the new form substituted, thus bringing material of whatever date under the new entry. The decision as to the treatment is based on practical considerations.

Up to the present time, we have not been made aware of a large percentage of cards to be

changed. If only a few entries are affected, it is possible to erase the older form and substitute the new. Whenever entries vary only slightly they will be interfiled, just as we have already done in interfiling "Woman" and "Women." Compatible headings, such as authors' names appearing both with initials, partial, or full names will be interfiled, with appropriate notes when necessary. The added cost for a complete changeover of headings would be formidable. Taking the changes in stride as they arise has meant that the library staff has been able to make changes in the present catalog. Only when new AACR 2 copy produces a conflict is a change made. Although this requires some shifting if cards are changed and refiled, the process is simpler when the number of cards to be changed is small.

When a larger number of cards is involved a cross reference is used. AACR 2 copy is filed in the public catalog with connecting cross references to link the old and new entries. Some library patrons will have to look in two places. In consequence, it can increase user frustration, make the catalog more difficult to use, and harm catalog consistency. Considerable staff time is saved, however, and cards do not have to be shifted. This has the added advantage of creating planned obsolescence for older cataloging as well. A chronological approach to the catalog can have certain benefits. With appropriate information cards, students can be alerted that January 1981 is the dividing line for two different forms of the entry, and that works cataloged after January 2, 1981 may be differently listed.

As a technical college library much of our material consists of material with a short life span. In adopting AACR 2 we expect that the ongoing weeding function will contribute to a catalog that will change that much more easily. Some cataloging situations will clear themselves up in the not too distant future. This we recognize as being far from the perfect solution, but is for us the only practical one. What it amounts to, so far as the end result used by library patrons is concerned, is an attempt to interfile the old and the new catalogs in the same catalog drawers. The result can be confusing.

Two-year college libraries at least now are fortunate in that our libraries are small enough to make possible the linkage of references as the way out. The decision to retain a single catalog and to make whatever cross references are necessary to link the old and the new rules is much simpler when the collections are relatively

small. As the size of the collection increases, however, this becomes more and more expensive. In many cases, libraries that do decide to freeze the pre-1981 catalog and create an add-on catalog may have to decide to forego cross reference from the old catalog entry to the new one. Costs are high and additional money will be needed for maintenance of the catalog under these circumstances. The source of this additional money all too often must be deducted from other library needs.

EVALUATION OF CHANGE TO AACR 2

None of us would like to be accused of a Pollyanna approach to our cataloging crisis, but one aspect of which little has been spoken needs some attention. The new cataloging rules may, in fact, actually be easier to use for unsophisticated community college students. This fact is easy to overlook since those who respond to the changes are the librarians who have lived so long with the previous rules that they can easily forget that for students the conventions of the former headings are not for them the logical terms. The radical changes in the forms of names required by AACR 2 will doubtlessly hamper catalog searches by reference librarians and experienced library users, but this may not be true for inexperienced users. The new rules are easier for students in that they allow for the use of the form of names and headings that people know as the most commonly used terminology. Although it is impossible to understand the logic what motivates these changes, it may be that students will find little difficulty with them. A simpler catalog could be the result.

Our current mode of attempting to allow both codes to co-exist, using linkages in a single catalog, puts the responsibility on the catalogers as never before. Unless the proper cross references are in play, students may not find the relevant materials. Unless the best and most useful references are used, considerable extra time will be spent on tracking down needed information when it is necessary to look in two places under two forms of the same name.

The Council of Chief Librarians of the 18 CUNY libraries in 1980 undertook a survey of CUNY library plans for the implementation of AACR 2. Without exception the community college library responses were tentative; not one had decided to close its catalog as a result of the new rules. All were concerned with the needs of their student patrons. All were concerned with budget and other practical aspects of the changeover. One of the considerations men-

tioned in our survey of CUNY libraries was space. It was recognized that the amount of space needed for the next few years for catalog expansion can be significant. Like most two-year colleges, we add a relatively small number of books to the collection. No space is available for an add-on catalog. Other libraries realized that this in itself could be a rationale for not creating a new catalog.

One of the community college libraries within CUNY, LaGuardia, had already closed its card catalog in 1978 and developed its own on-line catalog called LALS, at first for A.V. materials, then for books. A book catalog is regularly produced as a product of LALS. Faculty and students have happily used the on-line catalog and library administration considers the resulting service superior to that provided by the card catalog. Through the LALS authority control system, headings for books cataloged under the earlier rules can be changed to the AACR 2 form of the heading. One of the great advantages of the LALS system is the capability of preparing special reading lists for particular purposes. However, its greatest disadvantage is the fact that the system, being independent and self-contained, is extremely labor intensive. Every piece of information must be keyed into the computer and although the LaGuardia data is not "full MARC," tagging remains expensive. Nonetheless, this locally produced system proves that other solutions are possible.

"...no uniform standard of cataloging so...not always fully satisfactory."

From the administrative point of view, one of the most difficult aspects of AACR 2 has been the budgeting implications. Communicating to the college administration the financial requirements for the new cataloging has been difficult. The decision to adopt AACR 2 seemed to be mandated and for community college libraries the decision not to close the catalog was a natural one, but the troublesome question remains as to how much in the way of scarce budgetary resources can be allocated to the increased workload. Even OCLC costs have had the frightening tendency to escalate beyond our early conjectures. All too often, two-year college libraries are inadequately staffed and inadequately budgeted. As an institutional priority, library automation is not high.

Ironically, that which we need the most is not yet available to us. That is the need for detailed information on the impact of the chosen critical options on the whole range of library operations. Our experience is limited, in that problems of conflict are faced only as they arise. The full range of ultimate impact is unknown to us, because of this unfortunately ad hoc pattern of responding to a real crisis. Even now, after having lived under the new rules for more than six months, we cannot be certain of the real impact on our libraries. For this reason, much of what we are now doing in keeping the catalog open is tentative. These procedures will have to be reviewed periodically to determine if they are serving the purposes for which they are designed. Closing the catalog is no longer such a frightening prospect as it once was. Someday in the future it will be inevitable. For the present, we go along with what we have.

The complexities of authority control have not been resolved and at present the system of automation we are using is not sufficiently advanced to solve this problem. Advances in automation have been rapid and in this area it seems that in the next few years many of these problems will be solved. Automated procedures upon which the new rules are based will be in place and the costs themselves will be lower. At least, so we hope.

The problem already being faced is that of quality control. There is no uniform standard of cataloging so the catalog adopted is not always fully satisfactory. However, this is part of the essence of the AACR 2 catalog. Considerably more flexibility is allowed for interpretation. The optional rules throw the decisionmaking back in our faces. To achieve uniformity, we must wait for LC. If there is no LC model, the cataloger must decide whether to chance it by making a decision, then change it later when the LC form is available — or perhaps doing nothing but wait.

As the libraries of CUNY move towards a union catalog, the necessity for uniformity becomes paramount. Strong authority control is needed if the hoped-for union catalog is to succeed. The authority file in this library is now being strongly expanded so as to ensure that the catalog itself will be consistent. Since OCLC cannot yet automatically verify names and convert them into AACR 2 forms, we hope that this ability will soon exist.

Another side effect of AACR 2 has been that our library authority file has received some needed attention. An authority file of varied entries is being maintained in our Cataloging

Department. The older authority files are gradually being reviewed to see if changes are necessary in order to conform to the new rules; if so, the older headings are being modified. New name authority listings are being added to the file as they occur. Subject headings are verified in the most recent edition of the L.C. Subject Headings.

This library already has a divided catalog, with an alphabetical listing for author and title cards and a second file (A-Z) according to subject heading. Our students find it difficult enough to cope with this divided catalog not to mention the problem they would have with a second divided catalog. Consequently, it was our firm decision not to add a second catalog or close our present catalog.

Our rationale for our approach to the rules is based on practical matters of personnel and budget. With only a small technical services staff, limited clerical assistance, and unskilled assistants, personnel is not available to carry out an extensive catalog revision. The high cost of extra catalogs and the inadequacy of available physical space for the library are additional factors. Most convincing of all is the fact that our students could not cope with a new catalog.

ADVANTAGES - AUTOMATION AND COM CATALOG

The on-line catalog doubtlessly is the catalog of the future, with a COM catalog possibly not so far off. City College Library even now is moving ahead with its plans for a COM catalog. New York City Technical College and most of the other CUNY community college libraries now have OCLC terminals. In positive terms, considerable progress has been made.

The combined pressures of the closing of the LC catalog and the adoption of the AACR 2 rule changes did have a positive outcome. The radical changes in practice forced speedier development of library automation, and automation, it seems fairly obvious, is the only solution to making AACR 2 feasible. Here was something that enabled librarians to communicate to college administrators the justification for automation, and not simply the justification, but actually the necessity, as the only feasible way out. What many of us did not share with our administrators at the time was our own lack of certainty as to whether automation in itself is sufficient justification for the new rules. To research libraries or large university libraries, this simple step into automation was ancient history, but to community colleges of The City University this has been an exciting innovation.

Bronx Community College achieved this prize first, closely followed by New York City Technical College. Since then, several of the other CUNY community colleges have entered into negotiations to acquire their own OCLC terminals.

Development of the hope of CUNY libraries for a COM catalog has been for us a strong advantage of automating. As a solution to the need for closing the catalog we have found advantages in automating with the benefit of thereby allowing for the creation of a union catalog for the libraries of The City University. The positive advantages of automated catalogs also include the fact that spin-off catalogs can be produced and the catalog may be made available in other campus locations.

With most of the libraries now using OCLC and with their cataloging information preserved on tape by OCLC the hope is to merge these tapes into a COM union catalog on microfiche.

Progressing to an on-line catalog is a consummation devoutly to be wished. Some institutions see this as their more immediate objective - but for most of us the community college libraries, even considering this as a universitywide dream of the future reflects a new-found confidence in our capabilities.

Many community college chief librarians hoped for some delay in the implementation of these rules. In the next few years the costs involved will decrease, and the automated advances will be available to make the new catalog code feasible. The date crept up on us before we knew, and we were left with the dilemma of how to serve our public and still cooperate with a decision the progression of librarianship made for us. Institutional fiscal problems, user confusion, and cataloging chaos are some of the frightening potentials. Library budgets are proverbially unreliable and it is difficult to say how much money will be available for implementation of cataloging changes.

Automation of the catalog under AACR 2 offers advantages not possible with manual methods. But it reverts once more to the question of balancing the benefits and the increased costs. Only with careful planning will this library or any library be able to establish a rational response to the radical changes that may be necessary. Perhaps all of this is good in that we have been forced to reexamine our objectives for service and establish careful priorities for the allocation of resources to the catalog.

AACR 2 AND

THE HEALTH SCIENCES LIBRARY

By Richard Kaplan, Cataloging Information Services Librarian, and C.K. Huang, Director Health Sciences Library, SUNY at Buffalo

This paper will present an overview on how academic health sciences libraries in New York State, with particular reference to the Health Sciences Library at SUNY at Buffalo, are dealing with the introduction of the second edition of Anglo-American Cataloging Rules. In order to find out how AACR 2 is being implemented in these academic health sciences libraries, a brief survey was conducted in May 1981, among the 12 medical school libraries in the State. They include Albany Medical College, Albert Einstein College of Medicine, Columbia University, Cornell University Medical College, Mt. Sinai School of Medicine, New York Medical College, New York University, University of Rochester, and the four health sciences centers at Buffalo, Downstate, Stony Brook, and Upstate.

"The first edition of AACR was fully adopted by the [MLM]."

Before this issue is addressed, some background on basic cataloging procedures in medical libraries might give a better perspective for this paper. Cataloging operations in most academic medical libraries in the State follow procedures that are put forth by the National Library of Medicine's classification schedules which cover the fields of medicine and their related sciences and NLM's Medical Subject Headings (MeSH). Of the 12 academic health sciences libraries surveyed, 10 libraries use NLM's classification and 11 use MeSH.

The National Library of Medicine is similar to the Library of Congress in that its cataloging information is available in both on-line and printed format. These are CATLINE (Cataloging-On-Line) and the National Library of Medicine's Current Catalog which is supplemented weekly by NLM's proof sheets. Another on-line cataloging tool, in NLM's MEDLARS data base, is the National Library of Medicine's Name Authority File (NAF). This includes the form of entry of all personal, corporate, and series

names established by NLM. Additional cataloging information is obtained from the computerized data base networks such as OCLC and RLIN. Nine medical school libraries use OCLC and one uses RLIN. OCLC has been loading NLM's CATLINE tapes onto their data base since mid-1979. A retrospective loading of the entire CATLINE tapes is anticipated, but it has not been implemented as of June 1981.

While some of the cataloging tools are different, the basic cataloging procedures for health sciences libraries are no different from those followed in most small- to medium-size academic libraries. The major difference that distinguished the medical school library from the rest of academia was the National Library of Medicine's decision on choice and form of entry for particular headings. It is at this point that the Anglo-American Cataloging Rules can be tied in. The first edition of AACR was fully adopted by the National Library of Medicine's decision on choice and form of entry for particular headings. It is at this point that the Anglo-American Cataloging Rules can be tied in. The first edition of AACR was fully adopted by the National Library of Medicine, which as we have seen, most academic health sciences libraries follow as their major source of cataloging information and policy. A major source of frustration for most nonmedical libraries is that the Library of Congress never fully adopted the AACR 1. LC followed the Law of Superimposition which caused the form of entry for many corporate names to be established in an inverted form. NLM, by following AACR 1, has been establishing their names in direct order. Example:

L.C. Pre-AACR 2: New York (State).
State University, Buffalo.

N.L.M. Pre-AACR 2 and present Form (AACR 2): State University of New York at Buffalo

Since AACR 2 is a new edition based on the old rules, those medical libraries which have followed NLM's lead in adopting AACR 1 will have fewer changes to make than our colleagues who followed LC's interpretations and policies.

There are basic differences in the types and forms of printed material in the health sciences which distinguish us from other fields be they literary, science, or library. This allows catalogers in the health sciences to be in a somewhat easier position in establishing forms of entries using AACR 2. Writers in the medical professions are not nearly as prolific as their counterparts in the fields of literature. Personal names are much more consistent with NLM using the fullest form of the name possible, particularly with physicians. It would certainly be the odd scientist or researcher who would write under a pseudonym or one who would use only his/her initials!

"[TheRML] developed an excellent program to orient medical catalogers to the new rules..."

The concept of corporate authorship has always been vague and misleading using AACR 1. Based on a rough sample of books on OCLC, having both an LC and NLM record, these national libraries differed greatly in their interpretations of this rule. Since many health sciences libraries obtain their cataloging information from CATLINE or the Current Catalog, we can again see a difference between medical and nonmedical libraries' catalogs. A great benefit of the new cataloging rules is the elimination of the concept of corporate authorship. This will bring LC and NLM closer together in terms of choice of entry making cataloging more consistent between the health sciences libraries and other libraries.

ORIENTATION PROCEDURES

The Medical Library Assistance Act of 1965 allowed NLM to divide the United States into 11 medical library regions to enable the health sciences libraries to better serve the needs of their patrons. Each region has a regional medical library to help coordinate information and foster cooperation among that region's health sciences libraries. Under this Regional Medical Library program, monitored by the National Library of Medicine, the Regional Medical Library for New York and New Jersey (RML Region 11) is the New York Academy of Medicine Library, located in New York City. The Regional Medical Library developed an excellent program to orient medical catalogers

to the new rules and the National Library of Medicine's interpretation of these rules. These consisted of daylong programs in different locations throughout the State during November 1980. Each workshop covered the background and history of AACR 2; major aspects of changes in description, access points, and formulation of headings; implementation strategies; and a cataloging practicum.

Orientation procedures to introduce the new rules to library staff and patrons varied among health sciences libraries, but none were very elaborate nor detailed. As previously mentioned, those libraries following the National Library of Medicine's cataloging policies found AACR 2 is not as dramatic a change as for other libraries using LC. Ten libraries chose not to give their patrons any form of orientation for AACR 2. Most felt that their clientele knew nothing about AACR 1 and so an orientation now would only complicate matters. Libraries that did choose to inform their patrons, did so through the library newsletter, the bulletin board near the library, and/or a display next to the card catalog.

All the health sciences libraries which are implementing AACR 2 established various orientation procedures for their library staff. Most of these orientations were on an informal basis while some held more formal training sessions particularly for their public services staff. At the Health Sciences Library of the State University of New York at Buffalo, a formal session was held for all of the staff. This was deemed necessary because the Health Sciences Library is part of the University Libraries system; and, therefore, an orientation was important not only to explain the changes in the Health Sciences Library's catalog, but also to inform the staff about the procedures in the other libraries which are quite varied. SUNY at Buffalo's Law Library is similar to the Health Sciences Library in that it is maintaining the present card catalog, while the Music Library is not going to follow AACR 2 and the remaining libraries are closing their catalogs and starting new ones which will follow the Library of Congress' interpretation of new rules.

IMPLEMENTATION

Implementation of the second edition of Anglo American Cataloging Rules is currently taking place in 10 of the 12 academic health sciences libraries in New York State. Of the two libraries not implementing AACR 2, one plans to do so in the near future, and the other one has decided not to at this time. Neither of these

libraries is part of an automated cataloging system such as OCLC or RLIN, so they are not under pressure to adopt a particular network's policies. Of the 10 libraries utilizing the new rules, all are maintaining their original card catalogs except for one which has closed its catalog and is now using microfiche. This card catalog was closed in order to comply with the policies of that University's library system. A medical or health science library, by nature of its specific subject fields, is much smaller than most college or university libraries; in fact, a large health sciences library is usually equivalent to a small- or medium-size academic library. The need for current medical information is paramount, so to insure the timeliness of the literature, the proportion of journals to books is almost opposite that of a nonhealth sciences library. At the Health Sciences Library at SUNY at Buffalo, the approximate ratio of journals to books is 65 percent to 35 percent. With relatively smaller card catalogs, most health sciences libraries are able to implement AACR 2 without closing or freezing their existing catalogs.

The vast majority of academic health science libraries in New York State, including SUNY at Buffalo, have chosen three options for the enactment of AACR 2. Wherever possible, the Health Sciences Library will interfile when the entry elements are the same. This would include interfiling of personal names when there are both the shorter and fuller forms in parentheses, and corporate names when the only change is the addition of a geographic qualifier. In fact, one library has opted not to use the geographic qualifier. When interfiling is not possible, and the number of entries is under 10, then the Health Sciences Library will actually change the headings to conform to the AACR 2 form. This number varied in the survey from 10 to 20 headings. Changing of headings on the cards was the least favorable of the options that were used; most felt this was very time consuming and would add to normal staffing problems with which most cataloging departments are faced.

If the number of headings was over the amount decided upon, the differences in form of headings would be linked by cross references. At SUNY at Buffalo, it is felt that this is the least advantageous for the patrons and the public services staff. Many people have a sense of frustration when they are trying to use the card catalog; having information under a particular heading dispersed in different places within the catalog only adds to patron confusion. But as

stated before, because of staff time factors, this method will be used as part of a three-option package for the implementation of AACR 2. These procedures are very similar to ones found in most small- to medium-size academic libraries.

PROBLEMS

When surveying the academic health sciences libraries in New York State, one question asked concerned what problems were being encountered or anticipated in the adoption of AACR 2. The vast majority responded that they were experiencing little or no difficulty in implementing the second edition of AACR. Most mentioned that they wished they had a larger support staff to help them, but realizing the problems that all libraries are facing with budget cuts and personnel reductions, cataloging departments are not alone in this grievance.

The Health Sciences Library at SUNY at Buffalo is experiencing a few problems in adapting to AACR 2 which might be representative of libraries following the National Library of Medicine's cataloging practices. One source of annoyance is NLM's Name Authority File. Unlike the Library of Congress, which reformat- ted its NAF to conform with the new rules, NLM has not done this. NLM will only revise a heading on its NAF when that particular entry is used. This causes many problems for the health sciences library that wants to catalog originally and at the same time be as consistent with NLM as possible. If a library is using a heading that NLM has not yet converted into AACR 2 form, then there may be problems trying to interpret how the National Library of Medicine will establish their form of entry.

"...little or no difficulty in implementing the second edition of AACR."

Another hindrance being experienced and which is probably the case with most health sciences libraries that are associated with other libraries in a university setting, is the lack of consistency in the union card catalog. AACR 2 will greatly improve this situation by bringing the policies of LC and NLM much closer together but this does not mean that the

problems are solved. The National Library of Medicine has decided, as of this date, to trace the "Excerpta Medica: International Congress Series," in this form which does not follow the new AACR 2 form which would have entered it under "International Congress Series." LC is following the AACR 2 form of this series.

A major concern in health sciences libraries is AACR 2 and the cataloging of audiovisual materials. The standard practice for medical libraries was to have title main entries for audiovisual materials. AACR 2 says that if the author's name appears prominently, then there should be a personal name main entry. Patrons utilizing audiovisuals will access them by the subject or the title and hardly ever by author. It is very hard to distinguish intellectual responsibility for a program which might list corporations, societies, and people in their credits. Because of this, most academic health sciences libraries are not following AACR 2 and are continuing to use title main entry for audiovisuals. In fact, the health sciences community is disturbed at the National Library of Medicine's lack of direction in this matter to date.

SUMMARY

In conclusion, the Anglo-American Cataloging Rules, second edition, causes no real

problems of major significance for academic health sciences libraries. These libraries tend to be relatively small with the bulk of the collections represented by journal literature. By following the National Library of Medicine's policies, most of the cataloging of corporate headings are in direct order which is the same as the new form used in AACR 2. Health sciences authors write less than those in other professions, and their names are more consistent than those found in literature. Because of these factors, implementation is rather straightforward utilizing interfiling, cross references, and the actual changing of headings to conform to AACR 2. It is comforting to know that the vast majority of academic medical libraries are adapting to these new rules in the same basic manner.

Problems stem not from the new rules but from the National Library of Medicine's slow response in giving the health sciences libraries the needed guidance and proper direction. The major rule to which there is objection is the one on choice of main entry for audiovisuals. In general, the Health Sciences Library at Buffalo believes that AACR 2 is a very positive step in the direction of more uniform cataloging procedures, not only among national libraries, but all libraries regardless of their speciality or size.

"ALA SAMPLER" TELECONFERENCE JULY 1982 TO DISCUSS ONLINE CATALOGS

American Library Association president Betty Stone and Library and Information Technology Association (LITA) president B. Kenney will use teleconferencing by satellite to bring programs to those who can't afford the time, money, or effort to travel to the 1982 ALA midwinter meeting and annual conference.

Stone plans to deliver her Midwinter President's Program to as many sites as possible via libraries that can receive satellite transmission through their local cable television systems. The Public Service Satellite Consortium is seeking libraries, especially from Texas into California to form a national satellite network. Portions of the preconference on the online catalog and the Annual Conference next July will be taped and beamed to about 54 viewing sites including all cable libraries willing to participate. Viewers may respond to each program directly as active participants. The January 26 program will be free but fees will be charged for the LITA day-long program on July 14. Anyone wishing to participate in the LITA Sampler should read American Libraries for September and contact Don Hammer, ALA, 50 E. Huron Street, Chicago, IL 60611.

LIBRARY PLANNING

AND LIBRARY STANDARDS: HISTORICAL PERSPECTIVE*

*By Lowell Martin, Consultant to the Philadelphia
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Professor Emeritus, Columbia University;
and Visiting Professor, SUNY at Albany*

I have been asked to look back on standards and planning for libraries to provide what is called historical perspective. Why take the time to look back? There are enough problems today to occupy our full attention, so why face the rear?

I guess the question is, "What is history for?" In this case, hopefully to discern past mistakes and to comprehend where we are now.

This bit of history is constructed around efforts for almost 50 years at setting national library standards. This seemed to promise more applicability to our time than wandering through the many pathways of local, state, and national planning of a half-century or more. After all, the document you have before you in the workshop was sponsored by the Standards Committee of the American Library Association (ALA) and is an outgrowth of those previous attempts to set national criteria. Along the way I will look at some of the planning activities that were generated by the standards.

PERIODIC ALA STANDARDS STATEMENTS FOR PUBLIC LIBRARIES

Up until the mid-1960's, new standards for public libraries were promulgated by the American Library Association about once every 10 years. The dates were 1933, 1943, 1956, and 1966. Now for 15 years there has not been a fresh statement, which brings us to the new approach that you are considering in this workshop (which is A Planning Process for Public Libraries).

I was involved in each of the earlier statements, although only in a marginal way in 1966. Way back in 1933, having just entered library school, I found myself in the role of junior clerk or recorder to the ALA Standards Committee. By 1943 I prepared some first

drafts, and by 1956 was chairman of the standards group. I am not boasting — in fact before I am through with an appraisal of these several efforts you may well feel that I should offer an apology rather than take any credit. As to the most recent revision in 1966, my contribution was negative for I advised against issuing the document in the form in which it appeared, for reasons that will shortly be clear. And, finally, I have served as consultant to Gene Palmour and his associates at King Research as they compiled the document now before you.

At the outset I would like to set a theme. Standards in the past were viewed by librarians as pronouncements apart from the regular process of running a library. Administrators on occasion used these dicta from on high, when making a quick appraisal of their institutions or when presenting budgets. Then the national criteria were put aside, placed on the shelf to be considered at some future time like any other reference book.

But the standards documents themselves, on closer examination, reveal a progressive effort to add components of on-going planning. Looking back it can be seen that we were moving, by fits and starts, toward a comprehensive planning approach. Viewed in this light, A Planning Process for Public Libraries is not so much a sharp departure as the culmination of a trend that has been going on for 50 years.

Have in mind two key steps emphasized in this new manual: the setting of objectives and evaluation to determine to what extent objectives are achieved. You will see those two essential elements of planning appearing, slowly but steadily, in the successive ALA pronouncements of national criteria.

THE SEVERAL ALA STANDARDS STATEMENTS FOR PUBLIC LIBRARIES

Let's first cast an appraising eye over the several previous statements, noting not only

*A presentation to the Workshop on the PLA Planning Process. Albany. June 18-19, 1981.

content but relation to the time in which they appeared. This may be useful in determining what kind of approach is needed in the present time.

The first document — actually it was only a two-page statement in the old ALA Bulletin¹ — was issued in the heart of the Great Depression. Many public libraries were experiencing the heaviest demand they had encountered either before or since, with financial support as depressed as the economy. The statement was a rather forlorn plea in the midst of scarcity. It briefly reasserted the standard trilogy of public library purposes — education, information, recreation — and set forth its one ringing standard: \$1 per capita support for library service. The figure was substantially higher than prevailed at the time, and it stood for a decade or more, well into the Second World War.

That first statement was little more than an assertion of the importance of the public library and a kind of public-relations call for more money. Librarians repeated the \$1 per capita standard constantly. There was little evidence that it had much impact outside of library circles.

The 1943 document, Post-War Standards For Public Libraries,² was an act of faith performed in the darkness of international struggle. It was 48 pages rather than 2 pages in length. Reference was made at the outset to a publication that had appeared shortly before, Alvin Johnson's The Public Library; A People's University.³ This seminal work gave substance and human dimension to the claim that the public library is an educational institution. Even today, 40 years later, in moments when you may be uncertain about the direction of your own agency, A People's University is still worth reading quietly of an evening. Note this effort to start with a more concrete formulation of what the library is for, seeking to put standards on a foundation of objectives; here is a first attempt to fit standards into a planning process.

The Post-War document reflects various concepts which the chairman of the compiling committee, Carleton B. Joeckel, was attempting to introduce into library thinking. You will find here one of the early presentations of the systems concept, which he derived from his observations of Scandinavian libraries. This 1943 statement started such standards as books per capita, circulation per capita, etc. Beyond numbers it set forth certain principles of administration. The acceptable library was to be one that not only came up to designated figures

but also followed sound methods of management. Note again this shift from standards standing alone to criteria as part of an administrative process.

Looked at critically, the 1943 Post-War document was something of a hodge-podge of promising ideas that did not come together into a coherent whole. But it had a definite impact, not so much on individual libraries as on state and national planning. It came at a time when librarians were hopefully looking forward to a better day. There had been a surge of statewide planning in the 1930's. A compilation at the end of that decade⁴ identified no less than 45 statewide plans. Serious work went into them and some may have had an influence. Most, however, were solemn compilations that stood on the shelves.

"...the next step in the planning process, that of establishing priorities..."

Here I want to make an important distinction. A plan — a formal statement bound in neat covers — is not the same as planning. In this workshop you will be considering a process, an on-going activity, whereas a neat and finished plan may actually signal the end of planning.

Planning, to librarians, has usually meant development of a plan, a document that you can hold and read and put down. The process has been concentrated and short-lived. This has often been true in individual libraries in the form of either an internal or an external survey. True also states in the development of a state plan, and true also at the national level until the recent creation of the National Commission.

Planning is not a document — it is a process. It is not a short dash but a long marathon. And it is not something from the outside, visited on the library, but an indigenous activity, integral to effective management. THINK PLANNING, NOT PLANS.

In 1948 Joeckel brought out A National Plan For Public Library Service,⁵ a direct descendant of the Post-War Standards. They were referred to frequently in the Public Library Inquiry two years later.⁶ We were beginning to get some planning mileage out of standards

statements. When I went up to Watertown with Charles Gosnell in 1949, in the very early stages of the New York systems program, I don't remember that we referred explicitly to the Post-War Standards, but I suspect their influence was in the minds of planners here in New York State.

Another word about the Public Library Inquiry as we pass into the 1950's in this account. There was a formidable and paradoxical plan. Compiled by an all star cast of social scientists, it was at once revered and ignored by librarians. Its one definite recommendation — that the public library, being by definition and actual use an institution for the elite, should concentrate on serving this group well and not chase after the general public — was rejected by practically all practitioners.

Moving on to the 1956 document, we also move on to a very different time. We didn't fully recognize it then, but this was the early part of a shining period for the public library, and indeed for the country. A robust economy produced surplus funds that could be used to improve the quality of life. A philosophy of positive government action prevailed. Libraries received substantial increases in both local and State funds. For example, I note in looking back through your Emerging Library Systems that library expenditures increased by 141 per cent from 1957 to 1964, a period when inflation was relatively low. The Library Services Act, forerunner of LSCA, was passed the same year that the standards came out. All forces conspired to create a golden era.

The 1956 standards incorporated several sharp departures from the previous statements. At the outset it said: "Libraries working together, sharing their resources and materials, can meet the full needs of their users. This cooperative approach on the part of libraries is the most important single recommendation of this document". Here was strong impetus for the systems concept, and the whole statement was built around this idea.

The new document made a stab at objectives in an introductory statement on "The Role of the Public Library." One paragraph in that introduction still rings in my ears, and I can't resist repeating it:

For we are prisoners without exception, if not of stone walls and iron bars, yet of our own limitations. We are restricted to our own length of days and to our own energy,

but not to our own knowledge and skill; the accumulated wisdom of the race is available to anyone who can read a book. The key to this broader world is access to books, but if the door stands wide open there is no need for a key. It is the business of the public librarian to keep the door open and to see that no stumbling block lies in the way of those who would enter. Anything that contributes to that end is good library practice; anything that blocks it is bad, no matter what the rules may say.

Instead of standards per se, the 1956 document was constructed around 70 principles of planning and management. The first two read as follows:

All individuals should have free library service available in their local community.

All individuals should also have access through their local outlet to the full range of modern library facilities provided by regional, state and federal library agencies.

Under such general statements, where feasible, quantitative measures were presented. In essence this was the forerunner of a planning manual, as reflected in its title: Public Library Service, A Guide To Evaluation, With Minimum Standards. Note the stress on evaluation and note also that standards is the last word in the title.

Who can say what impact this formulation had? The next 10 or 15 years, from the mid-1950's through the 1960's, were the best of times. Librarians testified that the 1956 document served them as a model guide, which was one of its purposes, but I saw little evidence that it promoted local planning and evaluation, which was another of its purposes.

There is at least one exception to this negative judgment. The 1956 statement was drawn on extensively in your evaluation in 1963-1966, issued as Emerging Library Systems. This is a solid and insightful appraisal of how far you had come here in New York State by that time. Sam Prentiss and Jean Connor, the primary authors, made a notable contribution. I note, by the way, a quotation on page 77: "One activity that should receive paramount attention in all systems is planning". Well, it's 15 years later, and you might say that you are gathered here to consider the paramount attention called by

Emerging Library Systems.

I cannot give Emerging Library Systems as high a mark for its predictions of the future. On page 236 it says: "Since there is every reason to assume that library service will continue to improve ... even a conservative look ahead shows library use at least doubling in the next 20 years." The figures show that this was wildly optimistic; circulation — the only measure we provide consistently to show what we are doing — is currently not double what it was in 1966, but actually slightly lower today on a statewide basis than it was 15 years ago.

In 1966 a revision of the 1956 national document was issued.¹⁰ At first glance you might almost think that it was the earlier statement reprinted without change. Actually, careful work went into updating the measures, and some were made more precise. But unlike the challenge of each of the earlier statements — the call for support in 1933, the claim of an educational role in 1943, the emphasis upon systems in 1956 — these most recent standards had no message or mission. Each statement, up to 1966, had proved to be a clarion call, a rallying point. Something new was injected, librarians responded to the call, and discernible progress occurred. It was because the 1966 compilation lacked such a challenge that I urged postponement of its publication until we could see our way more clearly ahead. But the document was issued and in my opinion had limited impact. We have since marked time for 15 years, increasingly buffeted by money shortages, until the document before you presented the more complete approach.

"[Criticism of national standards is] that they promote sameness."

APPRAISAL OF THE STANDARDS

Now I would like to cast a critical eye over the whole standards effort to this time, looking at the several publications together. This should help to show why another compilation in the previous mode would not have been right for this time.

First, I point out that the various standards statements had no local roots and, therefore, had

limited local creditability. They were issued by a remote professional association; not one local government official, not one local resident had a single word of input into them. When money was easier to find, they could be cited by librarians without arousing any particular backlash from local appropriating authorities. But with inflation and the budget crunch, I warn you that undue dependence on any statement of national standards issued by ALA is likely to be dismissed by hard-pressed city councils or town boards as the claims of a self-interest group.

Second, I wonder what creditability national standards really had among librarians themselves. Administrators learned to use them, as they would any other support, but often with reservations as to how they applied in their own library and community. More than one library worked hard to come up to the standards, proceeded to achieve them, and then realized that they still were not giving the community what it needed.

Where did the standards come from? What was the authority behind them? They were not built up from any agreement on precise objectives, followed by research and experimentation as to what resources and services were needed to achieve those objectives. On the contrary, a dozen librarians designated by ALA got together and pooled their experience, compiling what you might call "the wisdom of the seers." Standards were set in relation to where libraries found themselves at the time, raising the measures as much as it was believed the traffic could bear. At best the standards tell administrators that they are doing as well as their neighbors, but not whether they are doing as well as they should. We tried to break out of this dilemma when putting together the 1956 standards by systematically going out to libraries in a dozen states that were designated by state library authorities as "good" or "excellent," but we did not have the resources to find our way off shaky ground.

I have already alluded more than once to a third shortcoming of the standards statements, the lack of a solid foundation of objectives, of just what standard library service was supposed to produce. This limitation is inevitable in a national pronouncement. A general group can assert broad aims and purposes, which our literature does endlessly. It is something else to dictate specific aims that can be measured and that will be accepted by localities. And even if it were possible to accomplish this — the Public Library Mission Statement of 1979 was an attempt to do so¹¹ — the crunch comes when

funds are not sufficient to carry out all the goals set forth. When money is short, you have to go on to the next step in the planning process, that of establishing priorities, deciding what to emphasize, and what to de-emphasize. This, in my experience, is the toughest step in the process, for it flushes out vested interests both within library staffs and also out in the constituency. But the step must be taken, or you will end up serving all objectives at a distinctly substandard level. And these tough decisions of what will be stressed and what will be reduced in your library or your system should not and cannot be made on a national or even a state level.

My numbers are mounting in this litany of shortcomings of national standards, and here we go to the fourth limitation. From the first, minimum standards have been stressed. As between bare adequacy and high achievement, the aim was at the former, and bare adequacy was determined by prevailing conditions in libraries. This is a little like saying the standard of health is to be not quite as sick as most people. Put harshly, the standards have given the benefit of clergy to a tolerable level of mediocrity. The result is that the standards may have been a kind of carrot to the stragglers, but better libraries, and those making progress, got very little help from them. As one example, I was interested in noting when running through *Emerging Library Systems* (p.30) that 15 of your 22 systems already exceeded the ALA standard for books per capita that was issued the same year as the study.

Here is another criticism, characteristic of library thinking in general as well as of the standards documents. When considering measures of service, librarians tend to think more of what they feel their agency should get than of what the agency should accomplish or put out. Input predominates over output, preparation for performance given priority over actual performance. So many dollars, so many books, so many staff members, with relatively little attention to how many people the library reaches, and almost nothing on results in users. It is like evaluating a school by how much is spent per student, how many teachers are hired, and the size of the building rather than by the performance of children. It must be granted that performance measures are more elusive for libraries than for schools, but some advances have been made. DeProspero¹² broke new ground on this in the early 1970's, and also Terence Crowley about the same time in his work on reference service.¹³ But these have not been followed up and used to any extent by library

administrators. DeProspero's promising work has faded into the background. Or take Crowley's perfectly acceptable performance measure — that information provided by the library should be accurate and up-to-date. He found this to be achieved in only 55 per cent of a series of sample inquiries directed to 40 medium-size libraries. These findings came as a shock 10 years ago, but how many libraries check today to see whether they may actually be dispensing inaccurate information?

The most telling criticism that has been directed against national standards is that they apply the same criteria to very different communities — i.e., that they promote sameness. Do the same measures apply in California and in Maine, in Plattsburgh and in New York City?

Certainly there is a considerable element of sameness among public libraries, except for differences in size. As I go from agency to agency, I am often impressed — I should say depressed — by this similarity. In fact, if I were to describe the library in which I first shelved books — that was in 1926, you understand there were no child labor laws then — you would, in substance, think that I was describing one of your medium-size central libraries today. Even severe financial limitations of the last 10 years have not resulted in much variation; each library when fighting inflation tends to cut more or less across the board, holding to the standard package, but at a reduced level. When the budget pinch comes, we do not decide what must be done well and what must be reduced or dropped, but rather continue all or most all of what has been done in the past, only less well all along the line. The result is shrinkage rather than realignment.

But I doubt if the sameness among public libraries is due to national or state standards. The reasons go deeper, to the shared and common assumptions of librarians themselves as to the components of a public library. The standards reflect rather than promote these assumptions. The national standards, like the administrators of individual libraries, have accepted without examination a pattern that emerged many years ago and that is applied to all public libraries like a model house plan. I am not saying that the plan is wrong, but simply that it is not examined, perhaps because librarians are not inventive, perhaps because individuality is no longer common among American communities.

POTENTIAL VALUE OF THE PLANNING PROCESS

At any rate, the planning process which you are examining provides an opportunity to break free of the mold, if there is need to do so. As the document itself states on the first page: "The planning process breaks into this comfortable tradition: it reviews the existing service program for effectiveness and balance, establishes priorities, and considers modifications and alternatives to the program." Put differently, it can release potential individuality within libraries. It is for this reason that I look hopefully on the new approach.

Not that it is going to be easy to break the mold. The typical library program has hardened in place, and has built a constituency that likes the agency as it stands. Who are the people who will be gathered to plan if you follow this new process? Library administrators and staff members who have a vested interest in existing activities and jobs — Friends of the Library who by definition view the agency with approval and affection? I have seen the planning process result in a kind of rubber stamp endorsement of all the library does now, fitting it even tighter into the mold.

Depending on your gut estimate of the effectiveness of the public library, you will react differently to this prospect. If you believe the program as it stands is as good as can be devised, if you feel that the agency reaches about all the people that it legitimately can, if you are relaxed and confident in the face of threats from the growing volume of recreational communication on the one hand and the commercial growth of information provision on the other, then you will welcome confirmation of your present program. If, on the other hand, you are concerned about the plateau or even decline in use, if you are uneasy about the case you can make for funds as public money becomes tight and a new philosophy of government service prevails, if you are unsure how your institution fits into the coming age of electronic communication, then you would do well to consider the planning process as a chance to take your bearings and if necessary to set new directions. In either case — whether you are sanguine or skeptical as to prospects over the next years — I believe that a fresh and carefully made tool is being placed in your hands, and that properly used it can result in a step forward for your system.

Each document in the past was useful to the extent that it was suited to its time. When

the 1966 statement failed to discern the period being entered, it proved to be a dud. What kind of time are we entering now? A time when money will be short and priorities therefore necessary, a time when central government is giving way to local government, a time of suspicion of national pronouncements and a return to local citizen action, a time when each public service must demonstrate that it has examined itself. I see the Planning Process Manual as suited to this juncture.

"...each public service must demonstrate that it has examined itself. ...Planning Process Manual...suited to this..."

I have wondered how many libraries would really go through the laborious and demanding procedure that is outlined. Perhaps economic pressures will force the issue, for if your budget is really short you have no choice except to decide what is essential. I note that several of the large city libraries have taken the plunge, and they were the first to be hit hard by the budget crunch. I have just completed a project in Philadelphia that was a modified application of the Palmour method, and am now preparing for a similar assignment in San Francisco.

Perhaps in this group I can tell a tale out of school about your own New York City libraries. A year ago I was called to New York City not by the libraries but by the Bureau of Management and Budget. In substance I was asked if I would do a study to show how 50 branch libraries could be closed. I refused, first, because the three city library systems were not directly involved in the inquiry, second because I do not believe that the automatic solution to city-library money problems is to close branches — it is an inequitable approach, because it takes facilities from some people and not from others — and, third, because I think Mayor Koch should pull his own political chestnuts out of the fire and not hire a consultant to do so. A few months ago I was invited back, this time by the three libraries and the Mayor's office together. Rather than the typical survey by an outsider, I recommended application of the planning process with the help of a consultant/facilitator. A month ago the City issued a request for a proposal along this line. So you see that your three largest systems are already committed to systematic self-evaluation and self-planning, using the document before you as a guide.

One final observation, based on the recent experience in Philadelphia and on an earlier project with Gene Palmour in York, Pa. There is a public relations dividend in the new planning process. When the library, among the various public services, stands up and announces that it is going to examine where it is and where it is going, both government officials and people in general take notice. In Philadelphia and in York, Pa. city officials pointed approvingly to the library effort as a model that should be followed by other public services. Then when such officials and other citizens find themselves involved on the library planning committee, their awareness of the agency moves up several notches. At the moment, Philadelphia authorities are actively considering the results of a two-year planning project with some heated debate, but it is indicative that this hard-pressed city has actually made additional money available even before the debate is concluded, to carry out whatever final decisions are reached.

Let me end up with a figure of speech that, to me, characterizes the planning process if it really works. In most of what you do as systems directors you are controlled to a great extent by circumstances; you react to demands and pressures and shortages. At time you must wonder if you are really in the driver's seat. The planning process could enable you to steer the

vehicle rather than letting it run by itself while you struggle to keep it filled with gasoline and to keep it in running condition. That is, it offers this opportunity if you really want to plan for change rather than necessarily going on as you have, if you are prepared to examine and clarify your objectives, if you are ready to measure your system to see how well it is doing, and if you are willing to establish priorities and live by them. If these attitudes are not present, going through this long process is just another laborious exercise.

The planning process is not a panacea. Its application is not easy. It is like running libraries by the town-meeting method. Whatever shortcomings libraries have may not be resolved by 20 people sitting around a conference table and each putting in two cents.

But give the planning process serious consideration as a possible means to move forward one of the notable achievements of the American library scene, the New York systems program, and to do so even if money is scarce. I may be wrong, but I have a sense that public libraries are marking time while the rest of the world marches into an electronic age. You broke out of the previous mold 25 years ago, leading the systems movement in the country. Here is a chance to lead again.

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FREEDOM TO VIEW

The FREEDOM TO VIEW, along with the freedom to speak, to hear, and to read, is protected by the First Amendment to the Constitution of the United States. In a free society, there is no place for censorship of any medium of expression. Therefore, we affirm these principles:

1. It is in the public interest to provide the broadest possible access to films and other audiovisual materials because they have proven to be among the most effective means for the communication of ideas. Liberty of circulation is essential to insure the constitutional guarantee of freedom of expression.

2. It is in the public interest to provide for our audiences, films and other audiovisual materials which represent a diversity of views and expression. Selection of a work does not constitute or imply agreement with or approval of the content.

3. It is our professional responsibility to resist the constraint of labeling or prejudging a film on the basis of the moral, religious or political beliefs of the producer or filmmaker or on the basis of controversial content.

4. It is our professional responsibility to contest vigorously, by all lawful means, every encroachment upon the public's freedom to view.

This statement was originally drafted by the Educational Film Library Association's Freedom to View Committee, and was adopted by the EFLA Board of Directors in February, 1979. Additional copies may be obtained for 20¢ (to cover postage and handling) from: Educational Film Library Association, 43 West 61 Street, New York, New York 10023.

REGENTS ADVISORY

COUNCIL ON LIBRARIES' REPORT

*By Bernice MacDonald, Chairperson
Regents Advisory Council on Libraries and
Deputy Director, the Branch Libraries of
The New York Public Library*

The Regents Advisory Council appreciates this opportunity each year to report on our concerns. Throughout the year the nine members of the Regents Advisory Council meet with Deputy Commissioner Maurer and with Assistant Commissioner Shubert and staff to advise on the planning, operation, and growth of library services — including the State Library and the other libraries in New York State for which the Regents have policy responsibility.

In addition to serving as chair of The Regents Advisory Committee on Libraries, I am a member of the Commissioner's Committee on Adult Learning. This dual responsibility underscores the vital roles that our 6,000 libraries play in achieving the educational objectives of the Regents.

LIBRARIES IN EDUCATION POLICY AND PROGRAM

Your legislative proposals, the emphasis on libraries in the regional meetings, and other actions this past year have clearly demonstrated the strength of the commitment the Board of Regents and the Commissioner of Education have to all library service. We particularly appreciate the fact that the series of nine regional meetings sponsored by the Regents and the Commissioner last fall and winter focused on the topic, "You, Your Organization and Your Libraries." The presentations and discussions at those meetings made clear the important and diverse roles libraries of all types play in the lives of our citizens. And, as important, they demonstrated your willingness to listen and discuss. Almost universally, participants in these meetings have expressed appreciation for the care and attention the Regents and Commissioner are giving to such urgent library concerns as the following:

- need for increased public awareness of library programs;

Presentation to the Cultural Education Committee of the Board of Regents. Albany. May 21, 1981.

- multitype library networks (including public, academic, school and special libraries) and coordination of services;
- use of technology;
- meeting changing information needs;
- school libraries and their participation in resource sharing; and
- contingency budget situations and library use education.

The publishing of The Elementary Library Media Skills Curriculum was hailed as a landmark document illustrating the coordinated instructional role of the classroom teacher and school library media specialist. We are proud to recommend this Bureau of School Libraries publication to you.

Commissioner Ambach's appointment of a 20-member Commissioner's Committee on State-wide Library Development headed by Alfred Giardino signalled your concern for a long range evaluation of library development policy and a commitment for broad scale involvement in that evaluation. Dr. Rochell of the Regents Advisory Council on Libraries is a member of the Commissioner's Committee; we await with anticipation the Committee's final report expected in the fall.

"Your commitment to quality library service has been evident at the national level."

Your commitment to quality library service has been evident at the national level. We are pleased that Commissioner Ambach has accepted a presidential appointment to the National Commission on Library and Information Services. Similarly, we appreciate Regent

Chodos' involvement in the important work following up on the White House Conference. Her leadership has been recognized by delegates from other states as indicated by her election to the White House Conference on Library and Information Services Task Force (WHClst) Steering Committee representing the Northeast States. We from New York State were proud to hear her testify last month before the Joint Oversight Hearing on Federal Library Programs of the Elementary, Secondary and Vocational Education Subcommittee and the Post-Secondary Education Subcommittee of the House of Representatives.

RESOURCES AND SERVICES OF THE STATE LIBRARY

As you are aware from our earlier reports, we have been particularly concerned about the staffing of the State Library. In the past year we have requested and received at each meeting a report on filled and vacant positions. We are concerned that the staff be adequate in number and calibre for the responsibility of the State Library. It is my pleasure to note important appointments since our last report to you. Barbara Rice has been appointed as principal librarian for reference services and Stephanie Weldon has been appointed state law librarian. Such appointments as these are key to continued excellence of service of the State Library. We hope that when we meet with you next year, we will be able to report the re-establishment of the position of director of Library Development and the appointment to the position of a person of national reputation and stature.

There is a widespread belief in the field that the State Library is subject to unusual position controls and that the Library vacancy rates are higher than those in other units of the Department. Both Mr. Maurer and Mr. Shubert have provided us with background information that explains the severe problems faced by the

Department in these difficult economic times. We appreciate the efforts of Mr. Shubert, Mr. Maurer, and the Regents to insure that the library and library development bureaus are staffed at the required levels. We believe it incumbent upon us to point out the concern of the library constituency regarding the long periods of high vacancy rates and the continued elimination of positions. We regret particularly that the Governor's budget for FY 1981-82 mandated the elimination of six positions. After elimination of 21 positions in the past 14 months, today one out of thirteen positions in the State Library is vacant. Most of these vacancies are Federally funded, indicative of the reliance on Federal funds to support key State Library functions which will cause serious problems in the future. We hope that the Regents will support efforts to reduce the Library dependence on Federal funding and to increase the amount of State support for this important program.

Enforced vacancies over the last 12 months have ranged from a low of 33 in April 1980 to a high of 54 in January 1981, resulting in a loss of over 10,000 work days during this year. Despite that reduction, use of the Library has increased fivefold since moving to the Cultural Education Center. Last year alone, the State Library staff answered 99,000 reference questions, NYSILL handled 146,000 interlibrary loan requests, and the Library for the Blind and Visually Handicapped circulated nearly 350,000 items to visually handicapped citizens.

We have also drawn your attention in recent years to the need for an adequate materials budget for the State Library, pointing out that inflation has curtailed the capacity for service. The 1980 statistics of the Association of Research Libraries (ARL) indicate that in comparison with the 99 other ARL libraries the New York State Library ranks 51st in volumes held but 97th in volumes added. In comparison with other research libraries, the Library has slipped alarmingly in the past four years.

New York State Library: Rank among Research Libraries

	1979/80	1977/78	1976/77
Total Number of Volumes held	51	50	49
Number of Volumes added	97	91	90
Number of Current Serials	27	25	23
Materials Expenditures	90	91	96

As you know, the cost of library materials have increased at a much faster rate than general inflation. The Library has been forced to drop journal titles before adding new ones. Last year the library cancelled subscriptions to 1,250 journals allowing it to purchase a limited number of new subscriptions and selected monographs.

Fortunately the 1981/82 budget enacted by the Legislature as recommended by the Governor, provides a 28 percent increase in the Library book budget. Such an increase is clearly the result of the efforts of the Regents and the Department. Careful management of these additional funds will enable the Library to begin to rebuild its collections. We ask you to continue your efforts to make certain that this invaluable research resource remains strong, and continues to serve the government and people of the State.

"...support efforts...to increase the amount of State support for this important program."

LEGISLATION

As your Advisory Council, we assisted Department staff in the formulation of recommendations for the Regents Legislative Program 1981, now pending in the Legislature as S.2805/A.3150. We share your pleasure that the budget enacted earlier this month reserves \$7.5 million in new funds for the Regents bill. This will move us forward on all fronts of library service and we look forward to early enactment of that authorizing legislation. The \$7.5 million increase covers part of a year. When extended to a full year, this represents a remarkable 29 percent increase in State aid to libraries over the 1980 level. However, even with this very welcome increase, available funds for library service fall far short of actual needs. Fiscal constraints, delays in appropriations, and uncertainty in funding make long-term planning for the development of library programs extremely difficult.

We are also pleased at Commissioner Ambach's commitment to public library participation in the Educational Information Centers (EIC) program. That program and its further

development, The Library Employment Advise-ment Reinforcement Network (LEARN) are enabling 11 library systems to provide vital adult education and information services. We support S.4915 and A.5541 which seeks a \$2 million appropriation to continue the work of the Education Information Centers. In this regard, it is important to point out the direct relationship between such special library programs, and the basic programs which together provide comprehensive library services. Special programs depend upon basic materials, staff, and program resources of the library. Therefore, it is urgent that Regents proposals for special services based on libraries go forward with such important proposals as those in S.2805/A.3150. We are pleased at this recognition of the complementary relationships between the EIC program and that for support of comprehensive library service.

We have received detailed information concerning the pilot projects established by Chapter 787 of the Laws of 1978. These experiments in school library system development and regional library networks for inter-library cooperation provide an excellent foundation for future library system development. We anticipate that the Commissioner's Committee on Statewide Library Development will make recommendations on the future of regional multitype library cooperation. We ask you to seek transition funds for the 14 projects in FY 1982-83 so that this firm base will not be jeopardized.

SCHOOL LIBRARY PILOTS AND THE BUREAU OF SCHOOL LIBRARIES

The coordinated work of the Library Development bureaus and the Bureau of School Libraries has helped ensure the success of the

"Careful management of these additional funds...to rebuild collections."

pilot projects. As school libraries move into the mainstream of library development, close coordination of the Department's library activities will become even more important. We are pleased that the chief of the Bureau of School Libraries as well as the chiefs of the two Library Development bureaus meet regularly with this Advisory Council.

School library programs continue to be damaged by the contingency budget provision that prohibits purchase of new library materials. Budgets for local school districts, including the school library component, are severely reduced in this time of current fiscal stress. When the contingency budget situation also occurs, the resultant effects on the availability of instructional resources is irreparable. Budgets are unlikely to be increased in succeeding years to purchase previous year resources, if they are still in print. It should be noted that some school libraries have been affected by contingency budgets for two or three years in succession. Your continued interest in revising the contingency law to permit acquisition of school library resources is requested.

Lore Scurrah, esteemed chief of the Bureau of School Libraries, has retired after 16 years of school library media program leadership. She will be sorely missed. Rapid action to fill this position is needed to ensure continued strong leadership for school library programs. Further, the impending change in Federal funding patterns raises concern about the continued staffing of the Bureau of School Libraries. Currently, only two of the positions of the Bureau of School Libraries are State-funded. The others are supported by ESEA Title IV B funds. All of us concerned with library services share a concern about this.

PLANNING

The creation of the Commissioner's Committee on Statewide Library Development is one of the most important long range steps taken in the 1980's on behalf of libraries and planning for library service. The work of that committee is complemented by important staff work in planning, library automation, networking, and service developments.

Evaluation of the recommendations of the Commissioner's Committee on Statewide Library Development is one of the most important tasks on our agenda as well as yours. The decisions that you make regarding those recommendations and their implementation will be critical. Translating these decisions to results will depend on the re-establishment of the director of Library Development position. This, as you recall, was requested by the June 1978 New York Governor's Conference on Libraries. The need for action is even more critical today — as is the need for the children's services consultants urged by the Governor's Conference. Library network and service development —in fact, implemen-

tation of Regents goals and priorities — requires a library development staff adequate to the problems facing our libraries.

The overarching responsibility of the Board of Regents for the total educational program and for the institutions that comprise the University of the State of New York provides a unique opportunity for library cooperation and for library alliance with other agencies. Inevitably, in difficult economic times it also raises questions of priorities. As an example, at the New York Library Association Conference last October, a public library system director told

"The overarching responsibility of the Board of Regents ...provides a unique opportunity for library cooperation and for library alliance with other agencies."

the Commissioner's Committee on Statewide Library Development, "The imbalance between the State's financial commitment to public schools and its commitment to public libraries requires study and redress. One can liken library systems and their central libraries to BOCES and local libraries to local school districts, and if one does, the paucity of the State's commitment to public library support becomes glaringly, maddeningly, and shamefully apparent." The statement points up the need for better interpretation and understanding of the Regents' firm support of libraries as an essential component of the total educational process. This has impressed the Commissioner's Committee on Statewide Library Development and is sure to be reflected in its recommendations. Working together in the next year to evaluate the Commissioner's Committee recommendations, we can strive to improve the capacity of libraries to serve the educational mission of the Regents.

The Regents Advisory Council on Libraries is eager to discuss any of the aspects of our report with you. Once again I wish to underscore the fact that the members of the Regents Advisory Council on Libraries are grateful for this opportunity to have an annual dialog with the Regents on library development. We pledge our best efforts to continue to work for quality library service in New York State.